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ABSTRACT

The National Institute on Alcohol Abuse and Alcoholism (NIAAA) suppports four non-profit units, Area Alcohol Education and Training Programs (AAETP), organized in 1974 to facilitate the delivery of alcohol education and training at the state and local level. In 1976, the NIAAA initiated an evaluation of the AAETP. Goals were to determine inter-organizational relationships, examine individual needs assessment methodologies, define and evaluate the current roles of the AAETP, and determine appropriate roles for the AAETP in the future. Recommendations included: (1) decentralized units should remain independent nonprofit organizations; (2) NIAAA should be the primary source of funding, using contracts as opposed to grants; (3) AAETP boundaries should be maintained for administrative convenience, with the recognition that states may associate with other units; (4) decentralized units should maintain small, highly skilled staffs with general as well as specialized capabilities in the field of alcohol education and training; (5) the planning cycle should be short-term to allow flexibility in meeting identified needs; (6) decentralized units should develop operational, measurable, and prioritized objectives in a self-evaluation system; and (7) decentralized units should be encouraged to develop multiple sources of funding, including other grants and contracts and fees for services. (MV)

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CONSAD Research Corporation

FINAL REPORT

AREA ALCOHOL EDUCATION AND TRAINING PROGRAM EVALUATION

VOLUME I

SUMMARY FINDINGS AND RECOMMENDATIONS

Contract Number ADM 281-76-0018

Prepared for:

Ms. Patricia Reed
Program Analyst
National Institute on Alcohol Abuse
and Alcoholism
Room 16-C02, Parklawn Building
5600 Fishers Lane
Rockville, Maryland 20852

Prepared by:

CONSAD Research Corporation
121 North Highland Avenue
Pittsburgh, Pennsylvania 15206

29 April 1977

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This report summarizes the results of the CONSAD Research Corporation evaluation of the Area Alcohol Education and Training Program (AAETP) sponsored by the National Institute on Alcohol Abuse and Alcoholism*. This study would not have been possible without the cooperation of the Executive Directors, Staffs, Boards of Directors, and Advisory Boards of each of the four AAETP's who gave generously of their time and expertise. We gratefully acknowledge their assistance and cooperation and the support we have received from NIAAA staff, particularly Dr. Ellen Ferris, Mr. Donald Patterson, and Dr. David Promisel.

A special note of appreciation is due Ms. Patricia Reed, who as Technical Project Officer, provided consistent and astute guidance throughout the study.

Lawrence Lerer
Project Director

Stuart M. Miller
Assistant Project Director

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TABLE OF CONTENTS

Page

FOREWORD ii

EXECUTIVE SUMMARY iii

- A. Background and Evaluation Purposes iii
- B. Evaluation Methodology vii
- C. Evaluation Findings viii
- D. Conclusions and Recommendations xi

I. BACKGROUND AND PURPOSES OF THE EVALUATION I. 1

- A. Description of the AAETP Program I. 1
- B. Purposes of the Evaluation I. 9

II. THE EVALUATION METHODOLOGY I. 14

- A. The Individual AAETP Evaluation Model I. 14
- B. The AAETP Programmatic Evaluation Model I. 21
- C. Identification of Potential Future AAETP Roles I. 26

III. SUMMARY FINDINGS I. 35

- A. The AAETP's as Individual Programs I. 36
- B. The AAETP Program I. 44
- C. The Alcohol Education and Training Network Roles I. 60

IV. CONCLUSIONS AND RECOMMENDATION I. 71

- A. AAETP Roles and Structure: Summary Conclusions I. 71
- B. Recommendations I. 78

FOREWORD

The documentation of this study of the Area Alcohol Education and Training Program is presented in five volumes. Volume I, the primary documentation of study activities and results provides a discussion of the background of the AAETP program, the purposes of the AAETP evaluation, the evaluation methodology designed and implemented, the results and findings of that methodology and the conclusions and recommendations for the AAETP program.

This volume is supported by Volumes II-V which present the results of the evaluations conducted of each individual AAETP. In addition to serving as a support for the conclusions and recommendations of Volume I, they provide a brief synopsis of the activities of the individual AAETP's.

EXECUTIVE SUMMARY

A. Background and Evaluation Purposes

For over two years, NIAAA has supported four non-profit units organized to facilitate the delivery of alcohol education and training at the state and local level. These four Area Alcohol Education and Training Programs (AAETP's) have been charged by NIAAA with meeting a variety of alcohol education and training needs which NIAAA felt could effectively be pursued by decentralized or area programs. The AAETP's have attempted to meet those needs primarily through stipends to individuals to further their careers in alcohol treatment or prevention and subgrants to institutions to conduct training and develop training materials to meet specific local needs. The AAETP's have also carried out other activities to increase and improve alcohol education and training. These activities include the provision of technical assistance to a variety of institutions, the coordination of local resources to meet specific education and training needs, and the conducting of seminars or conferences to provide short-term training for special populations.

The AAETP's were established by NIAAA in 1974, with the active involvement of the National Center for Alcohol Education's Field Services Division. NIAAA's assumptions and expectations about the program as initiated, as reflected in the AAETP guidelines and in NCAE program documentation, form the foundation of the AAETP program and served to direct the development of the CONSAD evaluation methodology. These assumptions and expectations include:

- "By virtue of geographic proximity the area programs are in position to address local, or state and area training and education needs and communicate regularly with the education and training network."
- "Since the small amount of new money available from the federal government must be augmented to make it go as far as possible, state and local inputs are essential."
- "Through their sub-grant programs, the AAETP's deal with and fund a number of projects at smaller community agencies which probably would not have received federal funding."
- "The area concept facilitates cost-effective programs for large numbers of individuals being trained at the local level. Both short-term and long-term training provide accessibility to persons now working in the field."
- "... Area programs, because of their community orientation, address the ongoing training needs of people providing alcohol services in the field, such as counselors, education/prevention specialists, and entry-level personnel, as differentiated from professionals, pre-career and the academically oriented."
- "The main thrust of the AAETP's should be the development and coordination of area efforts to enhance the delivery of education and training, and the filling of actual and projected gaps in prevention and treatment programs."

In addition to these assumptions and expectations, it was anticipated that each AAETP would establish and maintain ongoing relationships with a variety of local, state and federal organizations, especially NCAE and the State Alcoholism Authorities (SAA's). Each of the AAETP's was to work with the Field Services Division of NCAE, promoting NCAE packages, collaborating on materials development and field-testing, and providing information on local resources and needs. Each was also to establish an Advisory Council of SAA directors which would provide an area-wide perspective on the needs of the states and foster support at the state level for AAETP activities.

Although many of these assumptions and/or expectations have never been made explicit, AAETP guidelines did establish the following specific objectives for the AAETP's:

- To supply states and localities as quickly as possible with high quality education and training to meet their existing education and manpower requirements, in accordance with priorities of the national alcohol effort, plans of the states and concerns of specific localities;
- To upgrade qualifications of existing alcohol education and specialized treatment personnel, and to provide for their advancement upon career ladders;
- To promote alcohol education and training among other service providers;
- To upgrade education of the public in order to facilitate early identification of alcoholism and to demonstrate specific results from these efforts;
- To identify specific needs of target populations in the area of education and training, giving particular attention to high risk groups, low-income and minority groups.

It is within this context of AAETP program development, implicit premises, and explicit objectives that NIAAA initiated a study "to evaluate the AAETP program in order to determine the functions actually performed, the training needs filled and delineate the future course of the program." As the evaluator, CONSAD Research Corporation was specifically charged with the following:

- To evaluate the four individual AAETP's;
- To determine inter-organizational relationships developed;
- To examine the individual needs assessment methodologies;
- To define and evaluate the current roles of the AAETP program; and
- To determine appropriate roles for the AAETP's to pursue in the future.

CONSAD structured the evaluation to provide NIAAA with data to determine whether AAETP constitutes a viable, promising component within the education and training network, and whether it could constitute a more successful element if its functions, goals or relationships with the network components were redefined. In order to do this, the evaluation was required to determine (1) the extent to which AAETP's are meeting their objective and filling their expected roles; (2) their potential for meeting them in the future; and (3) the appropriateness of these specified objectives and roles.

B. Evaluation Methodology

The methodology designed to meet the requirements described above has three discrete but interrelated components:

- An evaluation of the individual AAETP's, which assessed the outcomes and impacts of each program relative to the objectives each had set to operationalize NIAAA program goals;
- An evaluation of the AAETP program, which assessed the achievement of the NIAAA programmatic goals and evaluated the premises established by NIAAA regarding the expected impacts of the program; and
- A determination of the potential future roles for a decentralized education and training unit, which delineates appropriate roles through the identification of role gaps in the alcohol education and training network and through the identification of roles likely to be supported in the field.

These three studies were conducted simultaneously, using the same set of data sources, which included AAETP documentation, the AAETP staffs and Boards of Directors, NCAE, NIAAA, NCALI, SAA directors, subgrant recipients and their trainees, and stipend recipients and their supervisors. Descriptive and evaluative data pertaining to the individual AAETP's can be found in the initial site visit reports and in Volumes II - V of this evaluation report. The key evaluation findings are presented below.

C. Evaluation Findings

The four AAETP's undertook a series of similar activities in pursuit of the objectives established by NIAAA for promoting and facilitating the delivery of alcohol education and training. The following activities were conducted with varying degrees of success:

- All AAETP's implemented a needs assessment to determine the alcohol training needs within the area. Three of the four needs assessments were methodologically sound and provided adequate if not complete data upon which to develop priorities. The results suggest that the area needs identified are in fact national needs which might better have been assessed by a single national assessment.
- The primary vehicle employed for achieving NIAAA and individual organizational objectives was the funding of subgrants to conduct training and/or the development of training material and the funding of stipends to support training for individuals in the alcohol field. These funding efforts did help meet many of the established training priorities. Follow-up data indicate that the training had a positive impact in moving individuals up career ladders in the alcohol field and upon grant recipients by improving the quality and quantity of education and training, through AAETP technical assistance to subgrant recipients.
- In addition to the primary funding activities, the AAETP's undertook a variety of other activities to promote or facilitate alcohol education and training. These efforts did demonstrate the ability of AAETP's to respond to needs in the field, with specialized services generally unavailable from other sources.

The AAETP program was founded on a set of assumptions as to the potential impacts or benefits that accrue to the "alcohol education and training network", through pursuit of decentralized education and training activities. The results of an examination of the major premises are summarized below:

- It was assumed that the AAETP program could serve to facilitate the development and distribution of NCAE material. Since NCAE material was not ready for public distribution, the AAETP's were unable to promote or facilitate use of the material. The AAETP's did, however, assist in field-testing two NCAE packages.

- The AAETP's were presumed to be in a position to identify and then coordinate the limited alcohol education and training resources. The AAETP's did pursue a variety of activities designed to facilitate the identification and sharing of information and resources, e.g., newsletters, conferences of state personnel, and clearinghouse services. Although these activities were clearly insufficient to fill the need for coordination, they were effective within the scope of available resources.

- Since state alcohol dollars tend to go for treatment services rather than education and training, it was hoped that the AAETP's could gain the cooperation of the State Alcoholism Authorities and increase their support of education and training. Although there were some individual successes in this area, generally the relationship with the SAA's was minimal and hence little impact was noted.

- The AAETP's were to identify and meet the specialized training needs of specific target populations. The identification of the target populations with the greatest needs, and the determination of those specialized needs, was only partially accomplished. Although grants were awarded to deal with special target populations, these grants did not reflect the priorities established.

To recommend a set of future roles for a decentralized alcohol education and training unit, it was necessary to go beyond the above documentation of success and failures. Significant individuals in the alcohol education and training network identified gaps in the set of roles currently being pursued by components of the network. Respondents also identified those roles which would be most appropriate for area-wide decentralized units. The primary unfilled or partially filled roles identified in the training network are:

- The development of training material and training programs;
- The funding of training programs and trainees;
- The coordination of training programs and training resources;
- The development of certification criteria and the assessment and accreditation of training programs.

The roles deemed appropriate for the decentralized units in the future varied by respondent group, but four roles were most frequently mentioned:

- Coordination of training programs and training resources;
- Assessment and accreditation of training programs;
- Development of training programs; and
- Provision of technical assistance.

D. Conclusions and Recommendations

1. Conclusions

Each Area Alcohol Education and Training Program has carried out activities designed to meet the goals established by NIAAA. They have engaged in a broad range of activities, sometimes with inadequate staff or funds for comprehensive or extensive coverage, limiting the potential for significant impact in these areas. Significant AAETP accomplishments and activities which suggest potential AAETP capabilities include:

- Area needs assessments and related research activities;
- Award, monitoring and evaluation of training stipends;
- Award, monitoring and evaluation of training and materials development subgrants and the provision of technical assistance to subgrant projects;
- Identification, cataloging and dissemination of training resource information and serving as a central source of alcohol education and training information for the alcohol field;
- Provision of technical assistance and consultation to a wide variety of organizations; and
- Design and field-testing of training materials.

In addition to accomplishing these six activities, theAAETP's have also demonstrated their ability to provide quick responses to local needs and problems, awarding grants in a fraction of the time required through

NIAAA, and to develop innovative approaches to meeting alcohol education and training needs.

Some of the less successful experiences of the AAETP's were: the SAA Advisory Councils, which were difficult to convene and often failed to facilitate SAA support; limited outcomes or impact outside of the stipend and subgrant programs, due to insufficient concentration of limited resources; and vague objectives, which provided little basis for self-evaluation. Identified constraints on the AAETP's functioning including the following: overly large and therefore ineffectual Boards of Directors; the less fruitful effort expended on developing SAA support through the Advisory Council mechanism; the attempt to serve the needs of an entire geographic area at the expense of the high priority needs of sub-areas; the lack of funds from additional sources; and the restrictions on AAETP activities and budget allocations, which discouraged full use of the innovative skills of the AAETP staffs.

Data on future roles for the AAETP were discussed in the previous section. From these data and the evaluation of the AAETP's and the programmatic issues, CONSAD has developed a series of recommendations regarding the future role of decentralized alcohol education and training services and the roles, structure and relationships of area-wide units providing such services.

2. Recommendations

Based on the above findings and conclusions and the examination of potential roles for decentralized units in the alcohol education and training network, a series of recommendations has been formulated. These recommendations have been grouped into potential roles, organizational structure, and inter-organizational relationships. They define a set of decentralized service units which, while building on the successes and lessons of the AAETP's, represent a significant departure from them.

The following roles have been determined as (1) those which could most appropriately be filled by a decentralized unit, and (2) those which fill gaps in the alcohol education and training network.

- Alcohol education and training materials development;
- Alcohol education and training program implementation;
- Technical assistance in alcohol education and training;
- Evaluative research in alcohol education and training; and
- Alcohol education and training coordination.

Recommendations with regard to the structure of the decentralized units were developed to: (1) remove past constraints on organizationl processes; and (2) facilitate the adoption of the newly recommended roles. The highlights of those recommendations follow:

- Decentralized units should remain independent nonprofit organizations;

- The primary source of funding should continue to be NIAAA, but using the contract, rather than grant, funding mechanism;

- The present AAETP boundaries should be maintained for administrative convenience, with the recognition that states may associate with other units as the need arises;

- The decentralized units should maintain small highly skilled staffs, with general as well as specialized capabilities in the field of alcohol education and training, using consultants to supplement staff capabilities as needed;

- The planning cycle should be short-term -- one or two years -- to allow flexibility in meeting identified needs;

- The decentralized units should develop operational, measurable and prioritized objectives which form the foundation of a self-evaluation system; and

- The decentralized units should be encouraged to develop multiple sources of funding including other grants and contracts and fees for service.

In fulfilling the recommended roles within the structure described, the AAETP's must assume a new posture in their relationships with other organizations in the alcohol education and training network. In general, the decentralized units should develop only relationships that will be mutually beneficial to both parties. In particular, the following recommendations delineate relationships essential to the success of the newly conceived area-wide concept:

- The SAA affiliation with the decentralized units should be voluntary and flexible.
    - Each decentralized unit should establish a mutually agreed upon relationship with each interested SAA.
    - The decentralized units should approach relationships with the SAA's by presenting the advantages of SAA collaboration rather than how the SAA's can aid in furthering their own objectives.
- The decentralized units should establish mutually agreed upon relationships with other area, state or local institutions, but only as each relationship can be demonstrated to be mutually beneficial.
- The decentralized units' relationship with NCAE should be the same as with other institutions, namely, it should be voluntary and mutually beneficial.
- Decentralized units should develop a close working relationship with each other to provide for a means of sharing successes and failures, as well as pursuing joint efforts.
- Decentralized units must plan and implement activities which will establish their credibility in the delivery of technical assistance and for training demonstrations.

The success of the decentralized units and hence the program for area delivery of training services in the future will depend largely upon (1) the financial support provided by NIAAA; (2) the effort by NIAAA to ensure that the contract mechanism is used successfully and the work of the decentralized units integrated with other NIAAA activities; and (3) the support provided by the "alcohol field" during this restructuring phase. The decentralized delivery of alcohol education and training is a viable and operationally useful concept for support by NIAAA. Its success will depend on the commitment of all personnel involved.

I. BACKGROUND AND PURPOSES OF THE EVALUATION

A. Description of the AAETP Program

1. Development of the AAETP Program

Recent recognition of the extent of alcoholism problems in this country has led to a rapidly increasing demand for alcohol education, prevention/intervention, and treatment services. Concurrently, the demand has increased for trained, skilled personnel to run these programs and to educate the public about alcoholism. Alcohol education and training programs of many kinds and at many levels are needed to meet those demands.

The National Institute on Alcohol Abuse and Alcoholism (NIAAA) supports and encourages a variety of education and training efforts, primarily through its Division of Resource Development and its Training Branch and through the National Center for Alcohol Education (NCAE), which develops alcoholism materials and training packages for use across the nation. These programs, however, are not nearly sufficient to meet the ever-increasing demand for personnel. Through the guidance and leadership of NIAAA, the limited federal funds available for training must be supplemented by other resources, including those of the states. In addition, NIAAA has encouraged the design and delivery of new training to meet the specific needs of state and local programs. In order to better integrate the states and localities into the training system, such that federal, state and local resources could be used more effectively and have training geared to the special needs of the intended recipients, NIAAA developed the Area Alcohol Education and Training Program (AAETP).

The AAETP program was developed early in 1974 by NIAAA, with the assistance of NCAE. The program was designed specifically to facilitate the development and delivery of alcohol education and training services in all parts of the country -- including the trust territories and U.S. possessions -- by dividing the nation into four "areas" and arranging for the creation of four non-profit organizations. Grants of approximately one million dollars were awarded to each of these newly created "area alcohol education and training programs."

The four AAETP's split the country according to Department of Health, Education and Welfare (DHEW) regions, and each program was established in a centrally located city within the area. The four headquarters and their regions were (and are) as follows:

AAETP	Headquarters	DHEW Region
Eastern AAETP	Bloomfield, Conn.	I, II, III
Midwestern AAETP	Chicago, Ill.	V, VII
Southern AAETP	Atlanta, Ga.	IV, VI
Western AAETP	Reno, Nev.	VIII, IX, X

The initial organizational structure of each AAETP was outlined in the guidelines developed at the initiation of the program. Specifically, each AAETP was to have a Board of Directors comprised of two representatives of each state served, and an Advisory Council comprised of the State Alcoholism Authority (SAA) director from each state. The basic staff was to consist of a director, an associate director for education and training, and an education/training specialist. After they initiated activities, three of the AAETP's added an associate director of evaluation.

Through subgrant, stipend and other facilitative processes, the AAETP's were to begin on a limited scale to integrate and enhance state and local resources to meet their alcohol education and training needs.

2. Premises and Assumptions of the AAETP Program

NIAAA and NCAE had some assumptions and/or expectations about the AAETP program as initiated; most of these underlying premises were reflected in the AAETP guidelines and in NCAE documentation of the program's beginnings. The assumptions/expectations presented below, which were found in those documents, form the foundation of the AAETP program, and also served to direct the development of the CONSAD evaluation methodology.

a. "By virtue of geographic proximity the area programs are in position to address local, or state and area training and education needs and communicate regularly with the education and training network."

It was assumed that since the AAETP's were geographically close to the "field", they would be able to identify local needs more effectively and direct resources to the states and to local programs more efficiently than could NIAAA.

b. "Since the small amount of new money available from the federal government must be augmented to make it go as far as possible, state and local inputs are essential."

Unlike some other grant programs, AAETP was formed with the hope that federal funds (primarily in the form of sub-grants) would be supplemented by funds from the states and/or local training agencies. Federal funds would serve as "seed" money to initiate training activities which would receive continued funding from state and local sources.

c. "Through their sub-grant programs, the AAETP's deal with and fund a number of projects at smaller community agencies which probably would not have received federal funding."

Supplementing the notion of "proximity", it was assumed that small local training or prevention programs, lacking the knowledge or expertise or predisposition to request federal funds, would be more inclined to apply for training and development funds from a "local" funding source.

d. "The area concept facilitates cost-effective programs for large numbers of individuals being trained at the local level. Both short-term and long-term training provide accessibility to persons now working in the field."

Although this premise was never fully explicated, it was assumed that AAETP activities would be more cost-effective than NIAAA efforts in increasing the level of alcohol education and training. This belief was based in part on the premise that AAETP's had the ability to speed up the grant review process and to recruit "appropriate" applicants more quickly and at less cost than NIAAA.

e. "... area programs, because of their community orientation, address the ongoing training needs of people providing alcohol services in the field, such as counselors, education/prevention specialists, and entry-level personnel, as differentiated from professionals, pre-career and the academically oriented."

It was assumed that the greatest training needs were at the service provider level in local programs, that paraprofessionals should be reached rather than professionals, and that the "local" orientation of each AAETP would attract these individuals into training more readily than could NIAAA efforts.

f. "The main thrust of the AAETP's should be the development and coordination of area efforts to enhance the delivery of education and training, and the filling of actual and projected gaps in prevention and treatment programs."

The AAETP's, it was hoped, could coordinate the existing, diverse local resources, to help meet the large demand for alcohol education and training and encourage the matching of training resources with training demand at the local level -- thus complementing and supplementing federal alcoholism and training activities.

In addition to these assumptions and expectations, it was anticipated that each AAETP would establish and maintain an ongoing relationship with a variety of local, state and federal organizations. Such relationships would not only foster the achievement of AAETP objectives, but also facilitate the development of a coordinated network of groups involved in the development and implementation of alcohol education and training related programs. The most important relationships were assumed to be with NCAE and with State Alcoholism Authorities: with NCAE because of its materials development and training responsibilities, with SAA's because of their perceived key role in developing and coordinating statewide alcoholism education and training programs.

The concept of the AAETP included a direct structural tie between each individual AAETP and the Field Services Division of NCAE. NCAE had a major role in developing the boards and staffs of each AAETP, and during the first 18 to 24 months of AAETP existence, provided technical assistance in everything from needs assessment methods to grant review processes. It was assumed that NCAE would continue to assist the AAETP's by providing ongoing technical assistance and coordinating the efforts of the individual AAETP's. It was also expected that the AAETP's and NCAE would collaborate on a variety of materials development efforts and/or training program demonstrations, adding a local perspective to NCAE efforts, and that the AAETP's could serve as promoters of NCAE packages. In addition, it was assumed that the AAETP would be an information source on local resources and needs, providing guidance to NCAE materials development efforts.

The importance of state, particularly SAA, involvement in the AAETP program was recognized at the outset. Since the AAETP was to go beyond state boundaries and deal with "area" issues in training and education, cooperation among the states was needed. To involve each state in this cooperative effort, an Advisory Council of SAA directors was established by each AAETP. It was expected that this council would provide an area-wide perspective that individual directors could not provide, and hence support AAETP's areawide efforts in training and in coordinating resources across state boundaries. In addition, the council was expected to provide the AAETP's with the opportunity to establish a working relationship with the SAA's that would facilitate the identification of state needs and priorities and the implementation of training efforts at the local level.

Although many of these assumptions and expectations were never explicitly developed as AAETP program objectives, they have remained as implied objectives of the program.

3. Explicit Objectives of the AAETP Program

Although many of the above-noted assumptions and/or expectations have never been made explicit, AAETP guidelines did establish the following specific objectives to serve as a planning guide for each AAETP:

- To supply states and localities as quickly as possible with high quality education and training to meet their existing education and manpower requirements, in accordance with priorities of the national alcohol effort, plans of the states and concerns of specific localities;
- To upgrade qualifications of existing alcohol education and specialized treatment personnel, and to provide for their advancement upon career ladders;
- To promote alcohol education and training among other service providers;
- To upgrade education of the public in order to facilitate early identification of alcoholism and to demonstrate specific results from these efforts;
- To identify specific needs of target populations in the area of education and training, giving particular attention to high risk groups, low-income and minority groups.

These objectives demonstrate a set of expectations with a focus somewhat different from those previously delineated. Since these expectations are explicit -- although broadly defined -- they have served as the primary focus for the AAETP's in establishing an organizational direction.

B. Purposes of the Evaluation

1. Evaluation Study Requirements

It is within this context of AAETP program development, implicit premises, and explicit objectives that, two years after the inception of the AAETP program, NIAAA initiated a study "to evaluate the AAETP program in order to determine the functions actually performed, the training needs filled and delineate the future course of the program". As the selected contractor, CONSAD Research Corporation was specifically charged with the following:

(1) To evaluate the four individual AAETP's. Following a thorough review of the background of the AAETP program -- including guidelines and objectives -- the "objectives, plans, policies, procedures, grant awards, stipends and major activities" for each AAETP were to be documented. Based on these data, each AAETP was to be evaluated in terms of the degree of achievement of NIAAA-AAETP and organizational objectives.

(2) To determine inter-organizational relationships developed. Included in the documentation of AAETP activities was to be a summary of the inter-organizational relationships established by each AAETP. Of interest were relationships with:

- .. The National Center for Alcohol Education;
- .. The NIAAA Division of Resource Development;
- .. Universities and similar institutions;
- .. DHEW Regional Offices;
- .. State Alcoholism Authorities; and
- .. Other organizations.

(3) To examine the individual needs assessment methodologies. Each AAETP needs assessment was to be examined in terms of its methodological adequacy, including an assessment of the statistical and analytical procedures employed. In addition, the results of each needs assessment were to be reviewed for their usefulness in program planning, development and implementation.

(4) To define and evaluate the current roles of the AAETP program. In addition to documenting the expected roles of the AAETP program, the roles that were actually being performed were to be investigated, and an assessment was to be made of the degree and quality of the fulfillment of these roles by each AAETP.

(5) To determine appropriate roles for the AAETP's to pursue in the future. Based upon the analyses of the current program, at both the individual and program level, and the analyses of future constraints and facilitators, a set of recommended roles was to be established. These roles were to be determined based upon appropriately defined criteria including cost-effectiveness, and were to indicate alternative sources of funding that could support such role definitions.

2. CONSAD Approach

If the need for alcohol education and training is accepted as a "given", then the major area of decision for the policy-maker becomes determining how best to meet this need. AAETP represents a partial but important component in the NIAAA-fostered alcohol education and training network; the program has specified objectives and roles. This evaluation was required to determine (1) the extent to which AAETP's are meeting these objectives and filling these roles, (2) their potential for meeting them in the future, and (3) the appropriateness of these specified objectives and roles. Therefore, this evaluation will provide NIAAA with data to determine whether AAETP constitutes a viable, promising component within the education and training network, and whether it could constitute a more successful element if its functions, goals or relationships with other network components were redefined.

In order to develop an operational set of recommendations for the AAETP program while meeting contract requirements, three methodological components were planned:

1. Evaluation of the Four Individual AAETP's. The purpose of this component was to assess the success that each individual AAETP has had in fulfilling the expectations of NIAAA for decentralized education and training. This included not only the assessment of the degree to which goals were achieved, but the outcome and impact of activities pursued. The critical aspect of this component, which provided input into the development of recommendations, was the

documentation of individual AAETP successes and failures, and the innovative activities performed that might be appropriate role indicators for the future.

2. Evaluation of the AAETP Program. The purpose of this component was to test the assumptions and expectations that NIAAA had for the AAETP program as a facilitator of alcohol education and training. Generally, NIAAA needed to know whether the concept of decentralized delivery of alcohol education and training services in the field was viable and more effective than could be expected of other mechanisms. In particular, this component was to provide information sufficient to evaluate specific structures, relationships and outcomes of the current program. It was expected that this component of the evaluation would provide evidence as to the roles that such a decentralized program could perform in facilitating alcohol education and training.

3. Evaluation of the Potential Future Roles of AAETP. While the purpose of the previous two components was to document past successes and failures and provide evidence of roles that could be performed well in the future by a decentralized alcohol education and training entity, the purpose of this component was to determine roles which would be appropriate for such organizations. In particular, the role gaps in the field of alcohol education and training were to be determined and evaluated as to whether they should be filled by the AAETP's or other area-wide units. This component balances the recommendations to be made by providing a set of roles "needed" to be compared against the roles determined to have been performed well in the previous components.

The following chapter (II) describes the methodology employed in each of the above components. Chapter III describes the resultant findings, and in Chapter IV the findings are melded into conclusions and recommendations for the future of a decentralized alcohol education and training entity.

II. THE EVALUATION METHODOLOGY

Three evaluation models were developed and implemented in this study: (1) a model for the assessment of the individual AAETP's achievements relative to their objectives; (2) a model for the assessment of the programmatic achievements of the AAETP program; and (3) a model for determining appropriate future roles for a decentralized education and training unit. These models converge in providing the input for recommending future AAETP roles and a conceptual redefinition of area-wide programming for education and training.

A. The Individual AAETP Evaluation Model

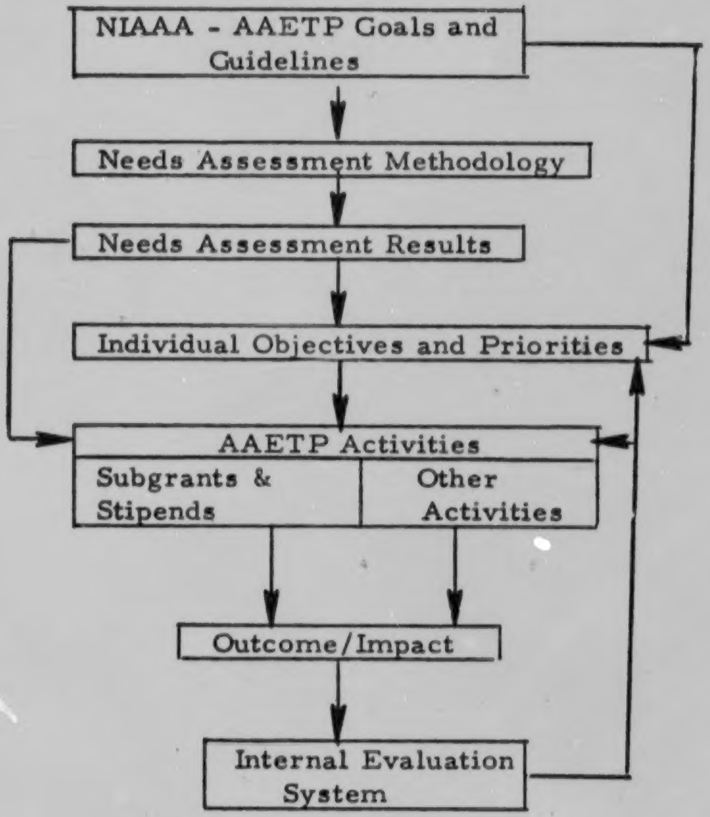
1. Methodology

The evaluation of each AAETP is based on an examination of the NIAAA and individual AAETP goals. Although none of these goals were defined in terms of specific operational objectives, it was assumed that the goals were appropriate and could serve as a basis for assessing the activities of each AAETP. The evaluation emphasized primarily individual AAETP outcomes and impacts not processes, addressing not how well or poorly the individual AAETP's were administered, or how equitably grant and stipend funds were distributed, but, rather, the outcomes of AAETP activities and the impacts of those outcomes on the world of alcohol education, training and treatment. Undoubtedly, management styles and/or procedures impact upon the effectiveness of AAETP activities, but the policy questions of this evaluation demanded an assessment of results rather than methods.

Starting with the NIAAA-AAETP goals and program guidelines, the evaluation of individual AAETP's followed the model depicted in Figure 1. Each AAETP was required to conduct an assessment of education and training needs in its respective area. The first step in the evaluation was an assessment of the congruence of the needs assessment methodology with the NIAAA goals. The needs assessment methodology was then examined for adherence to good survey and statistical analysis practices. The results of each needs assessment were reviewed for their consistency with the reported data, and for their usefulness in setting objectives and priorities for the organization.

The objectives and priorities established by each AAETP were reviewed for their consistency with the results of the needs assessment and with the AAETP goals established by NIAAA. Although the process by which the objectives were established was not of concern in the evaluation, the structure and format of the objectives were examined to evaluate their usefulness as a tool in designing and then assessing AAETP activities.

Figure 1 : Individual AAETP Evaluation Methodology


NIAAA - AAETP Goals and Guidelines
Needs Assessment Methodology
Needs Assessment Results
Individual Objectives and Priorities
AAETP Activities
Subgrants & Stipends
Other Activities
Outcome/Impact
Internal Evaluation System

AAETP activities were then grouped into two categories: (1) financial support of education and training; and (2) facilitation of alcohol education and training. Each AAETP had funds to distribute in the form of stipends and subgrants (or subcontracts) to support alcohol education and training for individuals or organizations. These stipends and subgrants were examined to determine the extent to which they supported the specific objectives or training priorities established. Similarly, the other activities pursued by the AAETP to facilitate alcohol education and training were examined for congruence with stated objectives and priorities.

Each funded stipend, subgrant or other AAETP activity was viewed as a specific "outcome" to be measured in terms of its contribution to the achievement of NIAAA-AAETP objectives or individual AAETP objectives. However, the methodology also gathered data from AAETP staff and other primary sources to gauge the short-term impact of all AAETP activities. Impacts were evaluated through two sets of criteria: (1) impacts upon individuals, and (2) impacts upon institutions. The criteria included:

- For individuals:
  - change in career pattern;
  - promotion;
  - job change; and
  - perception of additional skills and/or knowledges acquired.

- For institutions:
  - new training programs offered;
  - new training programs developed;
  - increased use of materials developed; and
  - changes in activity or funding levels.

For example, a subgrant to provide training to Hispanic alcohol counselors would have the outcome "x Hispanic alcohol counselors trained in skills a, b, and c". The impact of the subgrant, however, would be measured in terms of the influence of the training upon the individual trainees (e.g., number of promotions, increased treatment skills) or the institution (e.g., development of similar program for Hispanic clergy, continued training after funding).

Although data collection and data analysis procedures could not substantiate the long-term impact of AAETP activities upon a subgrant recipient,* those impacts which indicated that alcohol education and training would be continued or facilitated in the absence of AAETP funding were categorized as "residual capability", ** which is defined as the continuing ability of an institution to:

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*Longitudinal data were not available, and, indeed, could not be available because the program was so recently developed.

**The concept of residual capability was originally applied to manpower development programs which sought to determine the impact of manpower development monies upon the institution, agency, or company receiving federal funds. The notion of residual capability has been used by CONSAD in assessing the impact of technical assistance upon Economic Development Administration grant recipients, and the impact of Cooperative Education funds upon recipient institutions.

- Offer the previously funded training;
- Develop new training programs or materials;
- Plan and/or implement activities or facilitate education and training.

If, for example, an AAETP provided technical assistance to an SAA in writing the training portion of a State Alcohol Plan and the SAA were able to continue the activity without AAETP support, then "residual capability" would have been created as a result of AAETP activity. Given the recognized gap between alcohol training demand and supply, the identification of AAETP impacts which might have a "multiplier effect" on the field was especially important.

For the final element of the individual AAETP evaluation, an assessment of each AAETP's internal evaluation system, each system was examined to determine whether its focus was appropriate for providing data that would facilitate monitoring and adjusting the individual AAETP objectives, priorities and/or activities. The methodology of each evaluation system was also examined for procedural adequacy.

2. Data Sources

The primary data sources for evaluating individual AAETP's were: (1) the AAETP staff, (2) AAETP documentation; and (3) AAETP subgrant and stipend files. These data was gathered in two stages. The first stage was designed to gather the following descriptive information on each AAETP:

- Goals and organization;
    - Goals, objectives and priorities;
    - Organization and staffing;
    - Financial management activities;
    - Education and training;
    - Consultation and information dissemination; and
    - Programs for special populations;
- Organizational relationships;
- Needs assessment;
    - Purpose;
    - Methodology; and
    - Results and applications;
- Monitoring and evaluation;
    - The grants process;
    - Record-keeping; and
    - Monitoring and evaluation.

Following a site visit to each AAETP and a careful review of all documentation, an Interim Site Report for each AAETP was prepared and the design of the evaluation methodology was completed. The methodology required that additional evaluative data be collected from each AAETP on a second site visit, organized around the following evaluation areas:

- Needs assessment evaluation;
- Activities evaluation;
    - Objectives and priorities;
    - Subgrants;
    - Stipends; and
    - Other activities;

- External evaluation assessment;
- Impact assessment;
    - Coordination results;
    - NCAE-AAETP relationship;
    - State/SAA-AAETP relationships and impact;
    - Training institution impact; and
    - Impact upon special populations.

In addition to the data collected from each AAETP, other data were obtained from:

- Subgrant recipients;
- Subgrant trainees;
- Stipend recipients;
- Stipend recipients' supervisors;
- SAA directors.

These data were obtained to facilitate making an assessment of the AAETP impact upon alcohol education and training within the AAETP area, and of the "residual capability" left within those institutions receiving AAETP financial support or services. Data for the analysis of AAETP programmatic issues and the analysis of network roles was also collected from these respondents at this time. The number and percent of respondents from each group is displayed in Figure 2.

B. The AAETP Programmatic Evaluation Model

1. Methodology

One of the primary purposes of this study was to assess the degree to which the AAETP program was a viable mechanism for

Figure 2: Selected Data Sources - Number and Percent of Respondents

Respondent Group	AAETP				
	Total	Eastern	Southern	Midwestern	Western
Subgrant Recipients	61 of 107 = 57%	22 of 38 = 58%	16 of 35 = 46%	18 of 25 = 72%	5 of 9 = 56%
Subgrant Trainees[a]	91 of 191 = 46%	20 of 47 = 43%	21 of 48 = 44%	25 of 46 = 54%	25 of 50 = 50%
Stipendees Recipients[a, b]	38 of 85 = 45%	10 of 25 = 40%	11 of 24 = 46%	8 of 22 = 36%	6 of 14 = 43%
Supervisors of Stipend Recipients[a, c]	18	3	7	6	2
Board of Directors[d]	35 of 111 = 32%	11 of 29 = 38%	9 of 26 = 35%	11 of 30 = 37%	5 of 26 = 19%
SAA Advisory Board	19 of 56 = 34%	4 of 16 = 25%	4 of 13 = 31%	4 of 10 = 40%	7 of 17 = 41%

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[a] Based on a randomly selected sample.
[b] Three stipend recipients could not be identified by area.
[c] Supervisors were contacted through stipend recipients, many of whom had no current supervisor.
[d] Not used for individual AAETP evaluation.

coordinating state and local alcohol education and training efforts and meeting the manpower needs of alcohol programs. The evaluation methodology therefore included procedures for assessing the degree to which individual AAETP activities facilitated the accomplishment of the stated and/or implied objectives of the AAETP program. The individual AAETP analyses of the achievement of NIAAA objectives were aggregated to arrive at some measure of programmatic objective-achievement. However, measures of programmatic achievement go beyond the aggregation of the achievements of each AAETP. In a previous section (Section I), the assumptions and/or expectations underlying the AAETP program were delineated. In the absence of formal priorities or other program outcome criteria, these assumptions and/or expectations were used as a basis for developing the following evaluation questions to complement the assessment of the individual AAETP:

- To what degree have AAETP's facilitated development, distribution and usage of NCAE materials?
- To what extent have data been channeled from the AAETP's to NIAAA with regard to local, regional and area manpower supply, demand and education and training needs?
- To what degree have AAETP's facilitated the coordination of state and local education and training resources?
- To what extent have AAETP's had an impact upon the education and training activities of the states?

- To what extent have changes in local alcohol service delivery systems been a result of AAETP's activity, particularly through:
  - Training institutions;
  - Treatment centers;
  - Community agencies;
  - Education institutions;
  - Voluntary organizations; and/or
  - Local governments?
- To what extent have AAETP's been able to meet the education and training needs of special populations:
  - Academic versus service training needs;
  - Minority and other target populations;
  - Small community agencies?

The answers to these questions would provide some indication of:

- The degree to which an "area" program can develop and coordinate area-wide efforts "... to enhance the delivery of education and training, and the filling of actual and projected gaps in (alcohol) prevention and treatment programs."
- The degree to which an "area" program can "... address the ongoing training needs of people providing alcohol services in the field ... as differentiated from professionals ...".
- The degree to which "... the area programs are in a position to address local, state and area training and education needs and communicate regularly with the education and training network", and increase state and local inputs into this supposed education and training network.
- The degree to which "the area concept facilitates cost-effective programs for large numbers of individuals being trained at the local level" and increases training accessibility for people currently working in the field.

Since the above issues formed the basic assumptions upon which the AAETP concept was based, it was appropriate that the evaluation of the overall program address these issues directly.

Two possible evaluation emphases could have been selected to address the above evaluation questions. The traditional approach, extensive follow-up of individuals and institutions who received AAETP services to determine whether AAETP activities had significant impact, was rejected, since the program was so new that impact would still be limited and this approach would require extensive and costly follow-up techniques. Although program impact was pursued in a limited manner, the primary emphasis of the evaluation was on the AAETP program achievements and failures and the factors which influenced these. By concentrating efforts on a thorough analysis of AAETP achievements and identifying those factors which facilitated or constrained these achievements, CONSAD was able to generate data to determine how and how well the AAETP's were carrying out their current roles.

2. Data Sources

The primary data sources for evaluating the overall program were:

- AAETP staff;
- Program documentation at NIAAA, individual AAETP's, and NCAE;

- Subgrant recipients;
- Subgrant trainees;
- Stipend recipients;
- State Alcoholism Authorities;
- NIAAA personnel; and
- NCAE personnel.

The two site visits to each AAETP and follow-up telephone and mail contact provided some site-specific and overall program data. Additional program-wide assessment data were collected from the above-indicated list of data sources at the same time that data were collected to assess the individual AAETP's (see Figure 2, page 22).

C. Identification of Potential Future AAETP Roles

The final element of the AAETP evaluation methodology is the assessment of the appropriateness of current and future AAETP roles, including the identification of funding sources to support such roles.

1. Methodology

In order to define appropriate roles for the AAETP program in the future, it was necessary to look beyond those roles that were currently or potentially performed well, since those provide an indication of what the AAETP's could and should do in the future only if

(1) organizational and technical constraints remain the same, (2) other institutions in the alcohol education and training network continue to play their current roles, and (3) the current AAETP roles include all those needed functions which the AAETP's are capable of filling. Since these conditions could not be assumed, a methodology was needed for (1) determining other roles in alcohol education and training which need to be filled, and (2) identifying new potential AAETP roles.

Three approaches to such a methodology were considered.

a. Data could have been collected to identify roles appropriate for the AAETP in the future, given respondent knowledge of the existing alcohol education and training field. Appropriateness would be defined based upon a variety of dimensions, including:

   - Cost-effectiveness;
   - Role gaps to be filled;
   - Realistic roles within known limitations.

b. Respondents could have been offered a CONSAD approximation of an alcohol education and training "network" and the role that each network component plays. After examining the dimensions of the proposed network, each respondent could indicate appropriate future AAETP roles based on this network. Appropriateness would be defined to include:

   - Cost-effectiveness;
   - Role gaps to be filled;
   - Realistic constraints (legal, etc.); and
   - Area roles that would be supported by key network components.

c. Respondents could be asked to describe, from their individual viewpoints, the dimensions of a "network" of actors in alcohol education and training which represented a realistic framework within which appropriate future AAETP roles could be defined. Based upon this individual definition, each respondent could identify the appropriate AAETP roles, defined by the dimensions outlined above.

As used here, "network" refers to the total collection of interconnected components (institutions, organizations, and individuals) in the alcohol education and training field and the roles they play, including treatment programs which generate a need for trained personnel; colleges and other training institutions developing and providing training; coordinating and funding agencies at local and state levels; and NIAAA, which establishes national policy for alcohol education and training.

Discussions with AAETP staff, NIAAA, and NCAE indicated that a well-defined "network" of actors in the alcohol education and training field could not be identified. Although many institutions were performing many roles, there were few formal interconnections among them and those interconnections that did exist were neither well known nor understood. It was, therefore, assumed that perceptions of a network, and hence appropriate future AAETP roles, would vary broadly across respondents. Without some commonly accepted network definition, it would be difficult to understand and analyze the responses received regarding appropriate future roles for the AAETP's.

The first methodological approach was rejected because it did not provide any description of the network within which to analyze responses regarding appropriate future AAETP roles. Although providing the necessary framework for analysis, the second methodological approach was also rejected, since it would force all respondents to delineate future AAETP roles into a previously determined network definition. Many respondents could be expected to resist any definition of AAETP roles if they did not agree with the predefined network.

The third alternative permitted each respondent to define his/her view of the network, providing a perspective within which to define future AAETP roles and to place suggested roles in a meaningful context for analysis. A recognized danger of this approach was that variations in perspectives among respondents could be so great as to provide no identifiable consensus about network dimensions or future AAETP roles. However, the confidence in the validity of those roles on which there was consensus would be much greater than with either of the first two approaches, because a cluster would indicate some degree of agreement among respondents as to the importance of potential roles. Therefore, this approach was selected.

The basic focus of the methodological approach was to identify those roles in the alcohol education and training field which either were not currently being performed or were not being performed extensively enough (labelled as network gaps), and which could best be performed by a decentralized area-wide unit. The procedure for determining these roles is depicted in Figure 3 and is described below:

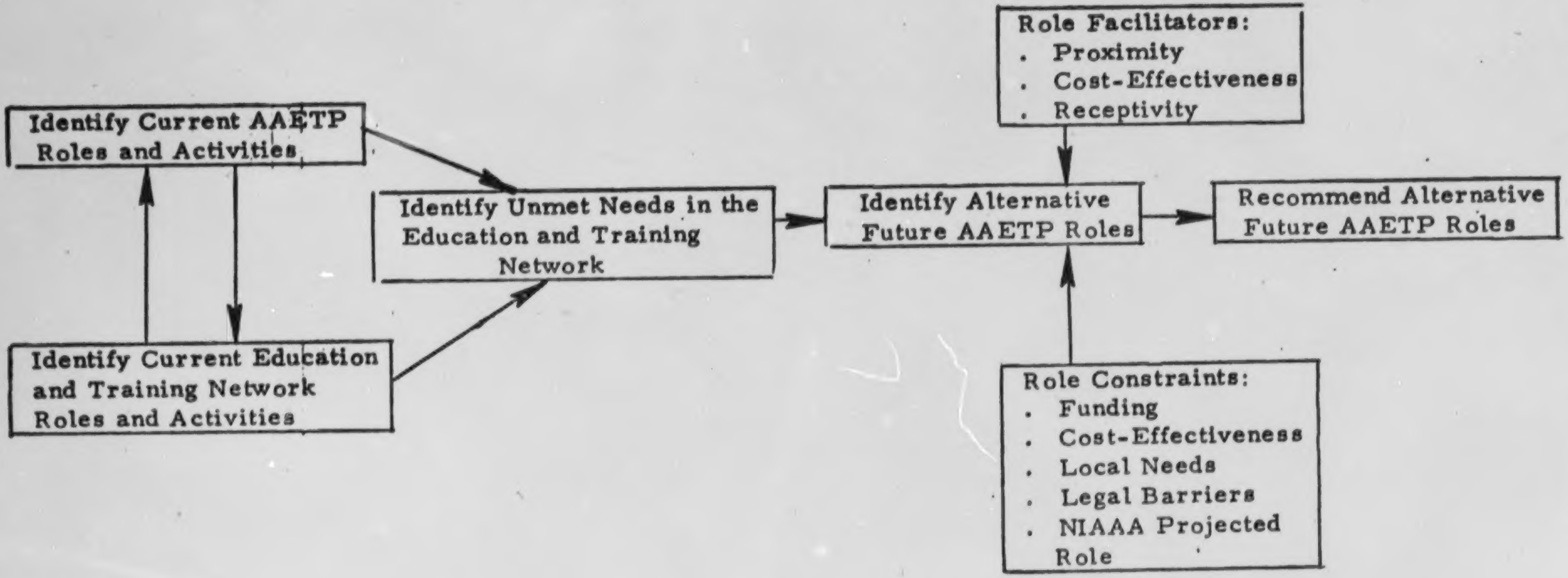
a. Identify current AAETP roles. Based upon the analysis and evaluation of each AAETP and the evaluation of the premises of the AAETP program, a delineation of current AAETP roles was made, including the extent and relative success of each role played and the special activities which each AAETP had adopted for itself.

b. Identify current education and training network roles. SAA personnel, AAETP Boards, AAETP staff, NIAAA, NCALI and NCAE representatives were asked to identify key components and roles of key actors in the education and training network. The key actors included:

- AAETP's;
- NIAAA Training Branch;
- NCAE;
- NCALI;
- SAA's;
- Alcohol Councils;
- Alcohol Treatment Programs;
- Social Service Programs;
- Higher Education Institutions; and
- Alcohol Training Programs.

Based on the aggregated responses, an initial alcohol education and training network was dimensioned. Because the contract focus was on the AAETP's and the viability of an area-wide

Figure 3 : Programmatic Evaluation of Alternative AAETP Roles: Analytic Procedures


Identify Current AAETP Roles and Activities
Identify Current Education and Training Network Roles and Activities
Identify Unmet Needs in the Education and Training Network
Role Facilitators:
. Proximity
. Cost-Effectiveness
. Receptivity
Identify Alternative Future AAETP Roles
Recommend Alternative Future AAETP Roles
Role Constraints:
. Funding
. Cost-Effectiveness
. Local Needs
. Legal Barriers
. NIAAA Projected Role

approach to alcohol education and training services, the network roles were analyzed and developed in terms of their relationship to the area-wide unit. The network which was defined is not an adequate exploration of all areas of alcohol education and training, and should not be used as such, since data were collected only from AAETP-related sources, within the context of an AAETP evaluation, and without any attempt to evaluate the adequacy or success of other organizations' efforts.

c. Identify unmet needs in the education and training network. Combining the network role description with an analysis of the alcohol education and training field as a system, those roles which are necessary to the proper functioning of a complete network but are not currently being filled by any of the network components were identified. In addition, each of the respondents listed above, plus the training program directors who had received AAETP subgrants, were asked to identify network roles which are not being performed or which are being inadequately performed. A comparison of gaps and inadequacies in the network was made to examine similarities.

d. Identify alternative future AAETP roles. Respondents were also asked to identify those roles that are most appropriate for an area-wide unit to pursue in the future, according to one or more of the following criteria:

- Roles that fill network gaps;
- Roles that are most cost-effectively filled by a decentralized alcohol education and training organization;
- Roles that are possible within the constraints of other components in the alcohol education and training field.

e. *Recommended alternative future roles.* A set of recommended future roles was delineated, based upon an examination of the above analyses including:

- The delineation of network components and roles;
- The identification of network gaps;
- The identification of alternative future roles for an area-wide unit;
- The analysis of the individual AAETP evaluations; and
- The analysis of the AAETP program evaluation.

Data from these analyses were also reviewed to ascertain the organizational and network relationship requirements for successful implementation of these roles.

f. *Identify alternative sources of AAETP funding.* Suggestions of alternative sources of funds to finance the delineated roles were sought from respondents, as were indications of those roles which would be supported (financially or otherwise) by SAA's and other important potential funding sources. Discussions were also held with AAETP directors who have done studies of potential or alternate funding.

2. Data Sources

Primary data sources for the identification of potential roles for an area-wide alcohol education and training included:

- State Alcoholism Authority Directors;
- AAETP Boards of Directors;

- AAETP Grant Recipients;
- AAETP staffs; and
- NCAE.

Data were collected at the same time as data for evaluating each AAETP and the overall program (see Figure 2, page 22, for size and response rate of respondent groups).

III. SUMMARY FINDINGS

This chapter reports the findings of CONSAD's evaluation of the NIAAA Area Alcohol Education and Training Program. It looks first at the components of the program -- the four individual AAETP's. Section A is a summary of their activities -- their achievements and their "misses" -- which illuminates those roles which may or may not be appropriate for an area-wide unit. It looks also at the unique activities of individual AAETP's as they seek to meet special needs in each area.

Section B examines AAETP as a total program and reviews the success of area programming in meeting NIAAA's goals. This section assesses the degree to which the AAETP's have aided NCAE in material development and distribution, channeled data on training needs to NIAAA, facilitated the coordination of education and training resources, affected the State Alcohol Authorities, affected local alcohol service delivery systems and manpower, and met the needs of special populations for alcohol education and training.

Section C reports the findings related to an analysis of the roles of the AAETP's in an education and training network. It defines that network and the AAETP's current place in it, looks at network gaps, and identifies potential roles for the AAETP's as indicated by other network members. These findings suggest a future set of area-wide unit roles which would be supported by and supportive of other components in the alcohol education and training network.

A. The AAETP's as Individual Programs

This section summarizes the activities of the four Area Programs as reported individually in Volumes II through V of this Final Report.

1. The Needs Assessments

Each of the four AAETP's has conducted an assessment of the alcohol education and training needs in its area. They varied in the extent to which they addressed areas of need suggested by NIAAA/AAETP objectives. The amount of money and time spent varied according to both the scope of the assessment and the survey method used. Although results were usable for planning local subgrant and stipend programs, variations in the methodology and items addressed prevent comparisons or aggregation of most results across AAETP's for use in identifying national needs. Specifically:

- All four AAETP's looked at education and training needs of alcohol treatment personnel, but none at the needs of alcohol education personnel;
- Only EAAETP looked closely at training needs of other service providers; only EAAETP and MAAETP looked at public education; and only EAAETP and WAAETP identified manpower needs;

- EAAETP, MAAETP and WAAETP looked at needs of special populations, but each defined "needs" and "special populations" differently;

- The methodology used by SAAETP had several flaws, and both EAAETP and MAAETP used aggregation techniques which raise questions about the validity of the findings.

In addition, all the AAETP's used the needs assessment to identify training content areas; they did not attempt to identify what roles the AAETP should play in meeting the education and training needs within the geographic area.

Except in the South, the AAETP's made some determination of the education and training needs of alcohol treatment personnel. Constrained by the short time frame, the lack of guidance from NIAAA, and the absence of recognized models, each AAETP managed to define the assessment, develop a methodology, and carry it out. The results of their individual efforts, to the extent that they can be aggregated, indicate that there are some individual state needs, and several national needs. However, few specific area-wide needs were identified.

Where it is possible to compare results from two or more areas, it appears that these identified area needs are actually national needs which could have been identified by a better-designed national survey, the results of which could be reported by state (and area, if appropriate) for use in designing AAETP activities to meet specific sub-area, as well as national, needs. A summary of the national needs identified by aggregating comparable results follows:

a. Who needs alcohol education and training? (EAAETP, WAAETP)

    - Alcoholism counselors;
    - Medical professionals (E)/physicians (W);
    - Public education and prevention personnel;
    - Health and social service personnel (E)/vocational rehabilitation counselors (W);
    - Others included in only one of the two instruments;

b. What are the training needs of alcohol counselors? (SAAETP, MAAETP, WAAETP -- with "needs" and "counselors" defined three different ways);

    - Public education and prevention;
    - Working with special target groups;
    - Program administration/management (where "counselors" includes program directors);
    - Other needs peculiar to the defined respondent group or to the instrument;

c. What special target populations are there? (EAAETP -- in need of training, WAAETP -- underserved by treatment programs, MAAETP -- should be subject of more training programs);

    - Hispanics/Spanish speaking;
    - Youth (W, M only);
    - Native Americans, including Alaskan Natives (W, M only);
    - Others included in only one of the instruments.

2. The Stipends and Grants

The four area programs have awarded 272 individual education and training stipends totaling $659,285. Approximately 46 percent of these awards went "to upgrade qualifications of existing alcohol education and specialized treatment personnel, and to provide for their advancement upon career ladders" (NIAAA/AAETP Objective 2). Approximately 20 percent went to students preparing to enter the field, a group not included in the AAETP objectives. A check of objectives or purposes listed in their applications indicated that 39 percent were preparing for advancement within the alcohol field, while another 39 percent were preparing to enter the field.

The programs attended by recipients were classified as: academic (degree-granting), 66 percent; certificate, 6 percent; and service (internship) 28 percent. This last group was composed largely of MAAETP stipend recipients, nearly half of whom attended service programs, thereby remaining in the alcohol manpower pool during training. Approximately 75 percent of the training programs were sponsored by universities and colleges.

The individuals funded provide some representation of the racial/ethnic minorities of the areas as well as both sexes. Of the 216 recipients in the East, Midwest and West (SAAETP did not request this information), 24 percent were non-White -- 12 percent Black, 8 percent Native Americans, 2 percent Spanish origin and 2 percent other. Men and women were equally represented.

The stipends reportedly had a beneficial impact on the recipients. Follow-up of 14 percent of them indicates that almost all (95 percent) report having acquired increased skills and knowledge in the alcohol field through training. A large number (82 percent) were promoted or located new positions following training, with 94 percent of these individuals attributing the change, at least in part, to the training. Their supervisors support this positive view of the stipend program.

The subgrant program represents an even larger investment of AAETP funds: $2,790,719 for 107 grants ranging from mini-grants of less than $2,000 to area-wide grants in excess of $100,000. These funds, and the technical assistance provided to all grantees by the AAETP's, have benefited well over 10,000 trainees and nearly 100 training institutions.

A large (but unknown) percentage of the trainees have been alcoholism counselors; other treatment personnel, physicians, including nurses have also been major receipients of training. A small, representative sample of trainees reporting on the outcome of their training indicate that most acquired new skills and knowledge in the field (87 percent) and would recommend the training program to a colleague (89 percent). Approximately one trainee in five reports that AAETP-funded training helped him/her to a promotion or a new job.

Data available from over half the subgrant recipients indicate that AAETP funds and technical assistance stimulated the growth of alcohol education and training. Only 56 percent of these institutions offered training in the alcohol field prior to receiving AAETP funds, yet 64 to 68 percent will continue to offer the funded program after AAETP funds run out. And 20 percent indicate that the training materials developed for their program (including grants used expressly for materials development) are now in use by other programs.

3. Other Activities

Beyond the major AAETP activities of funding stipends and grants, each AAETP has undertaken a variety of supplementary activities to improve alcohol education and training in the area or coordinate the efforts of the members of the education and training network. Some activities common to all four area programs include:

- Technical assistance to grantees;
- Consultation services, on request, to training programs, professional associations, SAA's and treatment programs by telephone, mail and on-site. EAAETP staff average five site visits per month, and WAAETP staff provided major assistance under contract;
- Dissemination of education and training information through telephone and mail requests, presentations, newsletters (EAAETP, MAAETP), resource directories (EAAETP, SAAETP) and a speakers forum (SAAETP); and

- Participation in the development and field-testing of two NCAE training packages.

Each AAETP has also undertaken certain unique activities in response to local needs or opportunities. Frequently, these activities are innovative and suggestive of potential new directions for the entire AAETP program. These activities include:

a. EAAETP:

- Development of a network of clinical supervisors who will serve as preceptors for those alcohol counselors who need clinical experience;
- Development of a set of quality standards for alcohol education and training programs, to be used eventually for accreditation;
- Career counseling for alcoholism personnel by mail, using EAAETP-developed career questionnaires; and
- Four workshops on various topics for groups with special training or coordination needs;

b. SAAETP:

- Two workshops, for planners of schools of alcohol studies and for rejected grant applicants on resubmission;
- Seeking of continued support for alcohol education and training at the federal level;

c. MAAETP:

- Rapid-response training to meet the special training needs of four groups, through the combined efforts of MAAETP staff and the subgrant-funded Mobile Training Teams, which provide high-priority training throughout the area, close to trainees' jobs;

- Two seminars to coordinate the efforts of State Prevention Coordinators and of the MAAETP with NIDA's Regional Support Center;
- A study of the potential for alternative funding from federal, state, local and private sources which resulted in obtaining $36,500 of state money;

d. WAAETP:

- Development of the Education and Training Services Delivery System (ETSDS), which will provide "packaged" training by local trainers throughout the Western Area on a fee-for-service basis.

These individual efforts suggest that the AAETP's have been able to develop programs to meet immediate and long-range local and state needs. Many of the approaches developed by one AAETP could be adopted by other AAETP's at minimal cost, to meet similar needs in other areas.

4. AAETP Evaluation Activities

Four of the AAETP's have a subgrant and/or stipend monitoring and evaluation system (at EAAETP, the stipend program was cancelled before their evaluation could begin). Each subgrant is evaluated against its own objectives, which the AAETP staff reviews with the grantee at award. Three AAETP's require the grantee to submit unstructured self-evaluation reports, and two have trainees assess the training, then do follow-up of on-the-job impact within six months. The three

AAETP's which evaluate stipends require end-of-training self-evaluation with subsequent follow-up to determine the number and nature of career changes which have taken place. The methodologies developed could be used to evaluate any training program against its own objectives.

The principal problem with these evaluation schemes is the lack of standardization of data requirements to permit aggregation and comparison of results with overall AAETP objectives. The AAETP's also have not evaluated their other activities in terms of their contribution to program or project objectives, and no formal self-evaluation has yet been attempted by any of the AAETP's.

B. The AAETP Program

In the previous section of this chapter, the results of the individual AAETP evaluations were summarized. The findings of that evaluation deal primarily with the internal consistency of AAETP program activities with the NIAAA objectives for the AAETP program. In this section, the results of the evaluation of the entire AAETP program are presented. This programmatic evaluation consists of two interrelated components: (1) an analysis of the assumptions and/or expectations upon which the AAETP program was established, and (2) an analysis of the impact of AAETP activities.

As described in Chapter II, questions which this part of the evaluation sought to answer are:

- To what extent have AAETP's facilitated development, distribution and usage of NCAE materials?
- To what extent have the AAETP's facilitated the coordination of state and local education and training resources?
- To what extent have the AAETP's impacted the education and training activities of the states?
- To what extent have AAETP's impacted local alcohol service delivery systems?
- To what extent have AAETP's been able to meet the education and training needs of special populations?

Based on information obtained from the AAETP staff and Boards, the SAA's, AAETP grant recipients, grant recipients, trainees, and stipend recipients, the above questions are addressed.

1. Facilitation of NCAE Activities

The purpose of this section is to evaluate the degree to which the AAETP's have facilitated the development, distribution and usage of NCAE materials. "Distribution and usage" were measured in terms of the AAETP sub-grants that are using NCAE material and the education and/or training programs that have received NCAE material or technical assistance on the use of NCAE material from the AAETP's.

The facilitation of material development was measured based upon two criteria: (1) the number of direct collaborative endeavors between AAETP's and NCAE for material development; and (2) the provision of "needs" data from the field to NCAE through the AAETP mechanism.

AAETP efforts to facilitate the distribution and use of NCAE material depend upon material availability. Given that most NCAE material is not yet ready for public distribution, the level of AAETP effort in this activity has been comparatively limited.

Although this report is not intended to evaluate NCAE material, the consistently positive AAETP attitude toward the NCAE material is worthy of note. With the exception of two packages which are still under development, and two additional packages with which the Midwest AAETP was unfamiliar, the AAETP's unanimously agree that they would recommend the use of the NCAE material and packages developed. In fact, to varying degrees, the AAETP's encourage grant recipients and others to use whatever material can be acquired. Since none of the relevant NCAE material is publicly available, the AAETP's either lend out their copies or refer individuals directly to NCAE for whatever can be supplied.

The AAETP's agree that if NCAE material were available, it would be useful in meeting area needs. Information from AAETP grant recipients indicates that only 39 percent of them are familiar with any

NCAE packages. However, with the exception of the Marine Corps package, many of the AAETP grant recipients believe that the NCAE packages would be applicable to training currently be conducted.

The primary area of AAETP and NCAE collaboration was in field testing two training packages developed by NCAE:

- "You, Youth and Prevention: Training for the Youth Worker in an Alcohol Service Agency", and
- "The Volunteer Utilization Model".

Two AAETP's were directly involved in the development of these packages, while all four collaborated in their final preparation. The AAETP's awareness of on-going programs and their contacts in the field facilitated the selection of populations upon which the NCAE packages could be field-tested. In addition, the technical assistance capability developed by each AAETP for use with subgrantees was useful in providing technical assistance to the groups field testing the packages. NCAE indicates that collaboration on this effort was "excellent".

Thus, NCAE packages appear to be relevant to the needs of the field and the AAETP's are predisposed to support their distribution and use, the lack of publicly available NCAE material has limited the AAETP role with regard to NCAE. The AAETP's have participated in the development and field testing of two NCAE packages and in addition have provided NCAE with information from the field to facilitate other material development, but within the perspective of all AAETP activities, these efforts are minor.

2. Coordination of State and Local Education and Training Resources

Although the demand for education and training resources greatly exceeds the supply (in terms of both training slots and training material), those resources that are available appear not be be fully utilized. One role of the AAETP program is to coordinate existing resources to minimize underutilization and duplication.

It is difficult to measure coordination, beyond documentation of contacts made and the substantive results of those contacts. Any activity which was directed at matching resource supply and demand, the promotion of training and education resources, or the matching of resources to needs was considered coordinative. However, normative levels of coordination cannot be readily defined; therefore, coordination can be evaluated only in terms of increases relative to past performance.

The absence of AAETP guidelines for the pursuit of coordinative activities has resulted in a highly individualized approach by each of the four AAETP's. There are some common elements, though, that run through the coordinative efforts of the four AAETP's.

- The level of effort expended in the coordination of existing resources appears to be far less than the effort expended in the development of new resources. This is in part attributable to the effort required to run a subgrant and stipend function, but even among the other activities pursued by the AAETP's, coordinative efforts seem minor.

- Of those coordinative endeavors that were undertaken by the AAETP's, most were simply reactions to requests for service, rather than AAETP initiatives designed to match resources with existing demand.

- Although there is an informal sharing of information among the AAETP's, SAA's, alcohol councils and other organizations about resource demand and availability, administrative mechanism to facilitate this process have not been established.

The only formal ongoing coordinative activities being pursued in the AAETP program are the Eastern AAETP's efforts to establish and maintain a comprehensive directory of training resources available in the Eastern states, an EAAETP newsletter which informs a large readership of the availability of training and other alcohol resources, and a similar newsletter published by the Midwestern AAETP, publicizing available training throughout the Midwest. All the AAETP's are involved to varying degrees in other informal coordinative functions.

This lack of formal coordinative efforts does not appear to be based on the lack of perceived need. Although the AAETP needs assessment methodologies were not directed toward the identification of the need for greater coordination in education and/or training, the objectives of the AAETP's do stress the need for coordination. In addition, over 80 percent of the 19 SAA directors reporting believe that increased coordination among the SAA's would increase the effective utilization of resources, even though the following coordinative activities are already being pursued by the SAA's:

- 84 percent currently share resource information with other SAA's;
- Over 90 percent report that they maintain a file of state-wide education and training opportunities, and over 70 percent maintain a file of available training material;
- Almost all SAA's indicate that they disseminate information on available resources.

3. The Impact of AAETP upon State Education and Training Activities

Although the AAETP program was not designed as a tool for changing the posture of the states with regard to alcohol education and training, the AAETP role as a resource provider and coordinator does have such an impact. Changes that might be expected as a result of AAETP activity include:

- Changes in the state alcohol education and training budget;
- Changes in state programs for education and training and/or for direct service delivery; and
- Changes in SAA administration, including the establishment or abolition of key personnel positions.

The limited resources allocated to alcohol education and training indicate that NIAAA might place a high priority on efforts to encourage states to increase their own budgets in this area, to establish or enhance programs, and to bolster existing administrative capabilities. No evidence was found that these changes have taken place, although there are indications of a potential for such impact.

The primary AAETP contact with the states -- and the SAA's in particular -- has been through the Advisory Councils, although geographic distance, state travel budgets, and the high turnover of the directorship in most states limit the ability of the Advisory Council to meet regularly. Most SAA respondents (approximately 80 percent) believe that the concept of an advisory council is appropriate, but they are split as to whether the AAETP Advisory Council has provided any benefit. Levels of participation by the SAA's vary greatly. The respondents from the WAAETP Advisory Council, unlike the other areas, do not support the AAETP Advisory Council concept and almost unanimously claim not to have derived any benefits from participation. (WAAETP serves a larger geographic area than any of the other AAETP's and has found convening the Advisory Council and the Board of Directors most difficult.) The AAETP's staffs feel the Advisory Councils have been useful, particularly in promoting funded training and other activities. But the extent of support provided by the Councils in coordinating area-wide or multi-state efforts varies by region.

The other major opportunity for contact between SAA staff and AAETP activities is through SAA staff participation in AAETP-funded training programs or conferences conducted specifically for state employees. In fact, 70 percent of the states responding have had some staff participate in an AAETP-funded training program. In addition, 35 percent of the states have staff who have attended AAETP-sponsored seminars and conferences.

The impact of these activities can be measured by the degree to which states support budget, program or administrative changes for education and training. This support has included:

- Three states in the Midwest -- Wisconsin, Indiana and Missouri -- have pledged funds to support MAAETP activities in their states.
- Interest has been generated among many of the Eastern, Southern, and Midwestern states in sharing resources and beginning to generate needed training.
- The Eastern AAETP has been successful in having some of its states adopt its needs assessment results and Resources Directory into their State Plans. In addition, the EAAETP accreditation program is being considered for adoption.

Although these impacts are small, they do demonstrate that if a close working relationship between the AAETP and the states is established -- as was especially true in the EAAETP and MAAETP --

positive changes in state training and education programming can be facilitated.

4. The Impact of AAETP Subgrants and Stipends

The NIAAA - AAETP objectives and guidelines call for the AAETP to:

- "Supply states and localities with ... education and training";
- "Upgrade qualifications of existing ... personnel";
- "Promote ... education and training among other service providers".

One effort to achieve these objectives was the stipend program implemented over a one year period. Although only half the stipends went to personnel working in the field of alcoholism, the academically oriented stipends did provide support for new entrants into the field. These stipends seem to have had a positive effect, based on those 38 stipend recipients followed up:

- Approximately 60 percent were currently working in the field (some of the others were still completing a training program);
- Eighty-two percent had changed jobs since completing training. Ninety-four percent of these attribute the change to the stipend funded program;
- Ninety-five percent claimed to have increased skills/ knowledge in the alcohol field.

Current job supervisors of the stipend recipients indicated almost unanimously that the stipend had a positive effect on the recipient's skills on the job which in turn benefited the entire organization.

The stipend program has had positive impacts on the individual stipend recipients, but little impact on the alcohol field beyond the increase in the skills of these individuals. Since only 60 percent of the recipients followed up have remained in the field, AAETP financial investments in stipends can be viewed as very costly, raising the average cost of training those who remain in the field by 67 percent.*

The subgrant program of the AAETP's has a greater propensity than the stipend program for creating continued impact upon institutions while also affecting individuals. Approximately 13 subgrant recipients are known to have continued their funded training program after AAETP subgrant funds ended. In a follow-up of over half the grant recipients, 64 percent claim that the funded training will continue (or is continuing) without AAETP funds. Also, 35 percent of those grant recipients developing training materials claim that the materials will be implemented without AAETP funding. In many cases, AAETP funding has supported an ongoing program, and hence it is difficult to attribute its continuation to AAETP; the program might have continued anyway. Many of the grants, however, were for specific training that had never been conducted even though the grantee had been providing other training in the alcohol field (55 percent had been conducting some alcohol training). Continuation of these new training programs without AAETP support has positively affected training availability.

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*Based on the CONSAD sample, approximately 160 stipendees have remained in the field, at an average cost of about $1,400 per stipend recipient remaining in in the field.

In addition to an increase in available training, the grant program has had other impacts upon the alcohol field. As a result of either attendance at an AAETP-funded training program or conference or AAETP technical assistance, other related training or training support has developed, including:

- The EAAETP's grant to Old Dominion University's Department of Psychiatry has resulted in its developing an undergraduate curriculum in alcoholism;
- The State of Nevada, as a result of WAAETP technical assistance, is developing a junior college program in alcoholism;
- Technical assistance provided by the MAAETP to the Wisconsin Summer Institute on NCAE materials has resulted in the generation of new programs.

As in the stipend program, the impact upon subgrant trainees appears to have been positive. A majority of the 91 trainees followed up are working in the alcohol field and attending service-related training. After training, one third of the trainee respondents reported having changed positions within the field, and 67 percent of those changes were attributed to the AAETP-funded training. Eighty-six percent claimed that their skills have increased and 89 percent reported that they would recommend the program to others.

Although both the stipend and subgrant programs of the AAETP demonstrate positive impacts upon individuals, there is little evidence that these impacts are directly attributable to the AAETP's. Stipend recipients and trainees from subgrants would not be expected to portray different behavior or attitudes if funds were provided from sources other than AAETP's. However, much of the residual impact of the subgrant program can be attributed to AAETP technical assistance and promotional efforts. Although the data for comparing the quality of AAETP and non-AAETP grants are unavailable, it can be assumed that the AAETP technical assistance provided an added dimension to the grant that is generally unavailable from other sources. It is this added dimension which may account for a residual capability that will continue to impact the education and training network beyond the term of the funding.

5. The Impact Upon Special Target Populations

One of the five NIAAA objectives for the AAETP program was "to identify specific needs of target populations". Although three of the four AAETP's did attempt at the outset to identify target populations most in need of education and training, no effort was made to identify specific needs of these populations. For example, Native Americans were identified as a target population by the MAAETP and the WAAETP, but no effort was made to identify what education and training needs were most critical or in the greatest demand, e.g., training for volunteers, alcohol counselors, or administrators, etc. Hence all efforts to support the training and education of target populations were based on the assumption that if training was provided, the training would have a positive impact. The evaluation of the AAETP impact upon target populations is therefore constrained to a documentation of activities pursued rather than an analysis of the appropriateness of the training. The following target populations were identified by the three AAETP needs assessments (SAAETP did not address this issue in its needs assessment):

	WAAETP	EAAETP	MAAETP
Blacks		X	
Hispanics	X	X	X
Native Americans	X	X	X
Youth	X		X

A variety of other special populations were identified as target populations by the various needs assessments, including women, rural populations and homosexuals.

The primary vehicle for meeting the needs of special target populations was through subgrants. The number of subgrants awarded specifically to meet the training needs of these target populations was as follows:

Target Population	Number of Subgrants
Blacks	3
Hispanics	3
Native Americans	5
Youth	10*
Elderly	2
Low Income	1
Minorities	3**
Women	1

Two noteworthy efforts for meeting the needs of special target populations were undertaken:

- The EAAETP provided a grant to serve as seed money for the development of a Northeastern Indian Council, that would evaluate training needs, coordinate training resources and facilitate training for Native Americans.

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*This does not include primary prevention grants sponsored by EAAETP

**The minority populations of these SAAETP grants are unspecified.

- The SAAETP, through a grant and associated technical assistance, provided for a program to train individuals from a variety of minorities from the entire Southern area. This effort facilitated a sharing of problems among minority alcoholism counselors.

The State Alcoholism Authorities responding are divided as to whether the AAETP program is having a noticeable impact upon the needs of special populations. The SAA perception of special target groups parallels that of the AAETP's, with youth, Blacks, and Native Americans topping the list, and women and Hispanics following.

The net results of AAETP efforts to meet the needs of special populations have been limited. Although serious attempts were made to meet these needs, both the available resources and information about specific needs were insufficient for the AAETP's to have a sizeable impact.

C. The Alcohol Education and Training Network Roles

The previous two sections of this report have summarized (1) the evaluation of the individual AAETP's and their primary activities; (2) assumptions and expectations of the AAETP program; (3) the impact of the program upon the alcohol field; and (4) the effectiveness of the AAETP program in meeting NIAAA objectives. Although these data are sufficient for the development of recommended modifications to the current AAETP program, they are insufficient for the development of recommendations for the future role of the AAETP's or recommendations for modifications in NIAAA policy toward supporting area-wide alcohol education and training. Through an analysis of the current roles of the institutions within the alcohol education and training field, CONSAD identified roles that were unfilled or not filled sufficiently, and roles that the AAETP or other decentralized programs might assume.

These analyses are based upon inputs from (1) State Alcoholism Authorities; (2) the Boards of Directors of the four AAETP's; (3) the AAETP grant recipients; (4) the AAETP staffs; and (5) NCAE.

1. The Roles of Network components

Three of the five respondent groups (SAA's, AAETP Boards, AAETP staff) were asked to identify network roles currently being assumed by major components in the alcohol field. To facilitate their response and our analysis of that response, the following list of primary network components was provided as a guide:

- NIAAA Training Branch;
- National Clearinghouse for Alcohol Information (NCALI);
- National Center for Alcohol Education (NCAE);
- State Alcoholism Authorities (SAA's)
- Area Alcohol Education and Training Programs (AAETP's);
- Alcoholism Councils;
- Alcohol Treatment Programs;
- Social Service Programs;
- Higher Education Institutions;
- Alcohol Training Programs.

Twenty-six potential network roles were provided to guide respondents in designating particular roles for each network component. However, additional roles and additional components in the education and training network were sought from each respondent. For purposes of analysis, the responses were grouped into a concise but broadly scoped set of 24 roles under which all responses could be subsumed. These 24 roles were then categorized for analysis and presentation. The final set of network roles is listed in Figure 4.

The responses of each respondent group were analyzed separately to identify the roles designated for each component in the alcohol education and training network. It was hoped that this analysis would provide three sets of role definitions to be compared for similarities and differences. However, in most cases variations among responses

Figure 4 : Alcohol Education and Training Network Roles

1. Direct Training Roles
    - Trainers
    - Treatment Staff
    - Prevention Staff
    - On-the-Job
    - Pre-Service
    - Seminars and/or Conferences

2. Development Roles
    - Training Material
    - Prevention/Public Education Material
    - Training Programs
    - Prevention/Public Education Programs

3. Assessment Roles
    - Manpower Availability
    - Training Needs

4. Funding Roles
    - Training Programs
    - Trainees
    - Material Development

5. Coordinating Roles
    - Clearinghouse of Training and Funding Opportunities
    - Matching Training Programs and Training Resources
    - Public Relations/Advocacy
    - Information Dissemination

6. Policy-Making/Administration Roles
    - Establishment of Training Priorities
    - Development of Certification Criteria
    - Assessment and Accreditation of Training Programs
    - Development of a Broad Training Philosophy
    - Provision of Technical Assistance

within each respondent group were too large to permit analysis on a respondent group basis. Although roles assigned to NCALI, for example, were consistent within and among respondent groups, other components, such as NCAE and the SAA's, were assigned a wide variety of different roles by respondents from the same respondent group. Therefore, the responses of the three respondent groups were aggregated and analyzed as a whole to identify designated primary roles for each network component.

Through a series of weighting procedures within and among respondent groups, a set of roles for each network component was defined and is displayed in Figure 5. Each "X" in the figure represents a degree of consensus among respondent groups concerning a role currently being played by each network component. The data gathered for this analysis are insufficient to distinguish the relative importance of these roles. Funding of training programs, for example, is defined as a role for AAETP's, the NIAAA Training Branch, and SAA's, but the designation does not indicate which component is the primary implementer of the role or which executes the role better.

It should be noted that there may be a bias toward the number of roles assigned to the AAETP's and the SAA's since they made up two

Figure 5: Alcohol Education and Training Network (Respondents: SAA's, AAETP Boards and Staff)
("x" = role currently performed)

Network Roles	Network Components AAETP's	NIAAA Training Branch	NCALI	NCAE	SAA's	Alcohol Councils	Alcohol Treatment Programs	Social Service Programs	Higher Education Institutions	Alcohol Training Program
1. Direct Training Roles										
a. Trainers				x					x	x
b. Treatment Staff							x		x	x
c. Prevention Staff							x			
d. On-the-Job										
e. Pre-Service										
f. Seminars and/or Conferences					x	x				
2. Development Roles										
a. Training Material				x					x	x
b. Prevention/Public Education Material										
c. Training Programs	x								x	x
d. Prevention/Public Education Programs			x		x	x	x			x
3. Assessment Roles										
a. Manpower Availability										
b. Training Needs	x									x
4. Funding Roles										
a. Training Programs	x	x			x					
b. Trainees	x				x					
c. Material Development	x	x								
5. Coordinating Roles										
a. Clearinghouse of Training and Funding Opportunities	x				x					
b. Matching Training Programs and Training Resources										
c. Public Relations/Advocacy	x	x		x	x	x				
d. Information Dissemination			x	x						
6. Policy Making/Administration Roles										
a. Development of Certification Criteria					x					
b. Establishment of Training Criteria					x					
c. Assessment and Accreditation of Training Programs										
d. Technical Assistance										
e. Development of a Broad Training Philosophy										

1.64

of the three respondent groups, and could have attributed more roles to themselves than others.*

Viewing the chart by network component reveals a role description by SAA's and AAETP Board and staff that is consistent with NIAAA and NCAE perceptions, as reflected in the premises for the AAETP program. There are a few differences which should be noted:

- The AAETP's are considered to be developing training programs, when in fact this has not been an NIAAA-assigned role, even though at least two AAETP's are moving in this direction;
- Although the AAETP's are seen in two coordintive roles (clearinghouse for training opportunities and public relations), they are not seen as coordinators of training resources and training programs -- one major expectation for the program;
- Although NIAAA's Training Branch has been assigned the roles of funding training, material development, and public relations, none of its policy making/administrative roles have been ascribed to it. Of notable significance is the absence of the roles for the development of training priorities and the development of broad training philosophies.

There are eight defined roles in the above chart which respondents did not assign to any network component. They are:

- Training prevention staff;
- Providing pre-service education;
- Developing prevention and public education materials;

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*Other respondent groups were not included because of contract constraints. However, it would be of interest to extend the data collection to other network components.

- Assessing manpower availability;
- Coordinating training resources and training programs;
- Assessing and accrediting training programs;
- Providing technical assistance;
- Developing broad training philosophy.

Although these gaps are only a first approximation of the role gaps that could potentially be filled by a decentralized program, they do provide a basis for comparison with those role gaps identified by respondents as reported in the following section. It was assumed that role gaps identified above would be substantiated if this comparison provided similar results.

2. Education and Training Network Gaps

In addition to identifying the roles currently being carried out in the education and training network, the AAETP staff, members of AAETP Boards, SAA's, and AAETP grant recipients identified (1) roles which were not currently being pursued, (2) roles which should be pursued more extensively, and (3) actors to fill these roles. The following summarizes the findings:

- AAETP grant recipients did indicate a gap in the network in the delivery of direct training. The other three respondent groups did not so indicate.

- Two developmental roles have been identified as being insufficiently performed: (1) the development of training materials; and (2) the development of training programs. Additionally, grant recipients identify the development of primary prevention and public education programs as a major gap. Two AAETP's feel that they should fill the material development gap, while the other two AAETP's and most SAA directors believe that this should be done by NCAE.

- All respondent groups identified the funding of training programs and the funding of trainees as being insufficient. Opinions as to who should pursue the role include the NIAAA Training Branch, the SAA's and the AAETP's. Primarily, the SAA's are looking to the Training Branch for monies to be distributed through the SAA's, whereas the AAETP's would choose to maintain the role for a decentralized program.

- The coordination of training resources and training programs is the most frequently identified unmet need. The SAA's perceive this as less of a need than the AAETP Boards, AAETP grant recipients, or AAETP staffs.

- The AAETP staffs and Boards agree that the fulfillment of the coordinative role is best done by the AAETP with contributions from the SAA's, NCAE, and Training Branch. SAA directors and grant recipients do not indicate who should fill this role.

- The development of certification criteria and the assessment and accreditation of training programs are identified by AAETP grant recipients and the AAETP Boards as major unmet needs. The AAETP staffs and SAA directors do not identify these as unmet needs in the network. Grant recipients do not identify who should fill this role; the Boards' responses indicate that the AAETP is most appropriate.

The gaps previously identified from the network analysis correspond to two of the unmet needs identified above: (1) the lack of coordination of training resources and training programs; and (2) the lack of assessment and accreditation procedures for the training programs. This correspondence supports the idea that these two roles are truly missing from the network. However, the other needs indicated above are being met insufficiently.

3. Appropriate Future AAETP Roles

Respondents were asked to describe those roles that would be most appropriate for an AAETP to pursue. It should be noted that approximately one-third of the SAA directors responding categorically denied any future role for the existing AAETP program. In addition to this being a major finding on the future role of the AAETP's, it reduces the number of SAA directors who identified specific future AAETP roles, and hence minimizes the weight of the SAA respondent group relative to the other respondent groups. Of those who envision no future role for the AAETPs, the objection is to the current roles and not to the general concept of decentralized programming for education and training.

Figure 6 describes those roles which emerged from the data as being appropriate for future area programs as described by the SAA's, AAETP Boards, AAETP staffs, grant recipients, and NCAE.

Coordination of resources is supported by four of the five respondent groups as an appropriate role for AAETP's. This role, however, was also noted as a gap by the SAA's and AAETP staff and

Figure 6: Appropriate Future AAETP Roles

Future Role	Respondent Group Supporting Role*
Coordination of training programs and training resources	SAA's; AAETP Staffs; Grant Recipients; NCAE
Provision of technical assistance	SAA's; Grant Recipients; NCAE
Development of training programs	SAA's; AAETP Boards
Assessment and accreditation of training programs	AAETP Staffs; AAETP Boards
Development of training material	AAETP Staff
Training of trainers	SAA's
Assessment of training needs	AAETP Boards
Funding of training programs	AAETP Boards
Demonstration of training programs	NCAE

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*Support was determined through a cluster analysis of responses within each respondent group. Those clusters that contained a "significant" number of responses were assumed to be roles supported by the respondent group.

Board in the previous section, and in defining a set of network roles, coordination was not a role being carried out by any component of the network. Hence, coordination of training resources is seen as not only appropriate for AAETP's, but also as a need to be filled in the network.

Three of the other roles which also have the support of at least two of the respondent groups as being appropriate for AAETP's are:

- The assessment and accreditation of training programs;
- Development of training programs;
- Provision of technical assistance.

The other roles listed in Figure 6, were supported by only one respondent group. Although individuals within other respondent groups have also supported these roles, the cluster analysis for those respondent groups did not provide data to justify respondent group support. The ability of the analysis to generate a set of agreed upon roles as perceived by respondents to be appropriate for the AAETPs was limited by the low response rate in many respondent groups and by the variation of those responses within each group.

IV. CONCLUSIONS AND RECOMMENDATIONS

A. AAETP Roles and Structure: Summary Conclusions

Each Area Alcohol Education and Training Program has carried out activities designed to meet the goals established by NIAAA. Some of these activities have been carried out more successfully or completely than others, and some activities, although implemented appropriately, might better be the responsibility of another entity. The AAETP's have engaged in a broad range of activities, sometimes with inadequate staff or funds for comprehensive or extensive coverage, limiting the potential for significant impact in these areas.

Significant areas of AAETP success and potential success, as well as identified weaknesses and failures, are summarized below.

1. AAETP Accomplishments and Potential Capabilities

- Needs assessment. Three of the four AAETP's carried out major needs assessments which were basically sound methodologically, although limited in scope. All have conducted other studies and research activities which indicate a capability to collect and analyze data for internal and SAA use, a capability which capitalizes on their situation as area programs.

- Stipends. Training stipends were awarded, and in most cases followed up, efficiently (approximately 60 days to make an award) with recipients reflecting some AAETP priorities and objectives. Most stipend recipients reported promotion, continued work in the alcohol field, and other positive outcomes. However, the high cost per stipend recipient remaining in the alcohol field and the high cost of stipend administration per individual trained -- relative to other funded training efforts. -- lessened the potential impact of the program. In addition, there was no evident advantages to handling stipends at the AAETP rather than the state level.

- Training and Materials Development Subgrants. Subgrants were generally awarded and monitored in a manner consistent with the individual AAETP's objectives and priorities, and trainees reported positive training outcomes. Technical assistance was provided to most recipients, resulting in several notable cases of program or management improvements or obtaining of post-grant funding.

- Information Dissemination. The AAETP's have demonstrated an ability to identify, catalog and disseminate training resource information, especially through newsletters (EAAETP and MAAETP) and the EAAETP Resource Directory. All four AAETP's have served as a central source of alcohol education and training information for the alcohol field in their area.

- Technical Assistance and Consultation. In addition to the technical assistance provided to subgrant recipients, the AAETP's have consulted with and assisted a wide variety of organizations, including universities, police departments, local alcohol councils and State Alcoholism Authorities. Although this evaluation was unable to determine the impact of these activities, requests for such services continue, indicating that such aid is considered useful and that the AAETP's are providing a needed service, although this service was never defined as a required AAETP role.

- Training Material Development. Through their work on two NCAE packages, the AAETP's have demonstrated their ability to participate in the design and field testing of training materials.

The structure of the AAETP program has fostered two important operational mechanisms, as evidenced by activities at each AAETP.

- Quick, Localized Response. The decentralization (i.e., separate administration, removed from the NIAAA bureaucracy) of the AAETP's and their proximity to those they serve have permitted the AAETP's to respond quickly to local needs and problems (in a few weeks or months, rather than the many months it can take for a grant application to be written and then approved through NIAAA), and to become aware of the particular needs of states, cities and individual populations.

- Planning and Implementation of Innovations. With the limited flexibility allowed to the AAETP's after meeting the requirements for subgranting, stipends, field testing for NCAE and the needs assessments, they have created unique and creative responses to the needs of the alcohol education and training field. Examples of these responses include MAAETP's workshops, which combine subgrant expertise with staff abilities to create special training programs, EAAETP's career counseling by mail, and preceptorship program, WAAETP's ETSDS, and SAAETP's conference for summer school planners. These innovations appear to result, at least in part, from the staffs of the AAETP's, most of whom come to the program with relevant credentials and extensive experience in the alcohol education and training field.

2. AAETP Weaknesses and Failures

In fulfilling the NIAAA objectives, the AAETP's had some "less than successful experiences" as well. Among them were the following:

- SAA Advisory Councils. Despite extensive efforts to "coordinate" the SAA's, the results were limited, with participation by SAA's in AAETP activities varying from good to nonexistent. Due in part to distance and disinterest, Advisory Council meetings were frequently difficult to convene (especially in the West), and often failed to facilitate SAA support of the AAETP programs or concept. Many of the 19 SAA directors responding indicated that they do not feel the AAETP's should be responsible for funding stipends or grants, and approximately one-third rejected any future role for the AAETP's, and indicated an unwillingness to work with an area-wide unit.

- Insufficient Concentration of Resources. Partly because the AAETP's spread their limited non-stipend/ subgrant resources among many activities, only limited outcomes or impacts could be identified for such goals as coordinating state and local education and training resources, promoting prevention and public education activities, and carrying out the special activities undertaken by each AAETP.

- Objectives and Self-Evaluation. While all the AAETP's monitored and assessed the activities of stipend and subgrant recipients, in general their own program objectives were stated in general terms -- rather than in measurable objectives -- providing little basis for self-evaluation. There was evidence that more specific, operational, measurable objectives are being developed for future use, however.

Many of the weaknesses identified during the program evaluation appear to reflect structural or programmatic constraints of the AAETP program as presently constituted. The following constraints are considered particularly significant:

- Boards of Directors. The policy Boards of the AAETP's as presently structured -- with two representatives from each state -- do not provide either a strong policy arm or continuing technical or administrative advice and support for the AAETP's. Moreover, the large size of the Boards hampers efficient decision-making. Large numbers of Board members do not see themselves as policy-makers and indicate a perfunctory relationship in terms of supporting area-wide activities.

- SAA Advisory Councils. As previously indicated, the Advisory Councils have proven inadequate as a means of developing SAA support or obtaining substantive involvement of the SAA's in AAETP activities. The requirement for an Advisory Council and the attempt to force SAA participation are therefore seen as an inefficient use of the limited AAETP resources.

- Area Definition. Each AAETP has attempted, under NIAAA directive, to serve the needs of a large and diverse "area". In the attempt to meet "area" needs, the AAETP's have frequently missed the higher priority needs of individual states or local groups. This is especially true in the West, which is so diverse an area that the needs of significant subpopulations (e.g., the need for Spanish-speaking alcohol workers in California and Arizona) are ignored in favor of those needs which are common to all 17 states and territories.

- Lack of Additional Funds. Studies by the AAETP's indicate that there is some future potential for non-NIAAA funds, through other public or private grants and contracts, state funds (related specifically to services rendered), and fee-for-service arrangements. However, NIAAA cannot expect the AAETP's to become self-supporting at any time in the foreseeable future.

- Restrictions on Activities and Budget Allocations. AAETP activities have been greatly constrained by the requirement to award and administer stipends and subgrants, as well as by the responsibility to undertake specified activities to assist NCAE in testing training packages. While these activities may have been appropriate and successful, the limited AAETP role in defining their own activities and objectives has not encouraged innovation. Moreover, the lack of significant discretionary funds limited potential AAETP achievement by restricting staff opportunity for using demonstrated innovative skills.

3. Future Roles of the AAETP's

In recommending future roles for an area-wide alcohol education and training unit (or in recommending that such a unit have a future), it is necessary to consider certain successes of the existing AAETP's. More important, however, is the demonstration of a need for having certain roles filled or more adequately performed. For each such "necessary" role, one must then consider whether (1) an already existing component of the alcohol education and training network can perform that role more efficiently and effectively (efficiency in terms of costs, and effectiveness in terms of capability and quality); or (2) an area-wide unit can marshal the capability, support, and resources to perform the role efficiently and effectively. The recommendations in the next section are based on this analysis process. The remainder of this section summarizes those roles in the alcohol education and training network which need to be fulfilled and the support which can be expected for having a decentralized unit to carry out these roles, based on the perceptions and data inputs of the already indicated data sources.

- Although perceptions among the various groups and individuals asked to define the dimensions of the "alcohol education and training network" and the gaps in it varied greatly, limiting the ability to determine what services were not being adequately provided, the following gaps were indicated most frequently:

- No one is currently coordinating alcohol training resources and programs at local and federal levels, and SAA's are unable to do so adequately because of time and money constraints;

- Other than the EAAETP and other minor efforts, little is being done about the assessment and accreditation of training programs;

- Additional activity is needed in the areas of training materials development and the development of training programs, funding of training programs and trainees, and development of certification criteria for alcohol treatment personnel.

- The following future roles for an area-wide unit would be supported by others in the field:

  - Coordination of training programs and training resources;

  - Assessment and accreditation of training programs;

  - Development of training programs; and

  - Technical assistance.

- Many SAA's, a potential AAETP funding source, indicate a willingness to support the additional role of training of trainers by an area-wide unit.

B. Recommendations

Based on the evaluation findings and conclusions, recommendations have been developed concerning the value of maintaining a decentralized alcohol education and training unit, and the appropriate roles, organizational structure, and relationships for such a unit.

1. Summary of Recommended NIAAA Policy Toward Decentralized Education and Training in Alcoholism

The concept of providing education and training services and coordination through decentralized alcoholism education and training units -- specifically, independent non-profit corporations working within broadly defined geographical groups of states -- appears both practical and useful. Some of the factors which lend support to the area concept are:

- Alcohol education and training needs indicated by the study of network roles include development of training materials and training programs, funding for training programs and trainees, coordination of training resources and programs, the development of certification criteria, and the assessment and accreditation of training programs. While many of these roles could be assumed by other elements of the education and training network, the current area-wide units (AAETP's) have already demonstrated their ability or potential to fill some or all of these needs.
- Special at-risk populations, with the accompanying need for special approaches to, or adaptations of, education or training for alcohol treatment personnel, tend to be clustered geographically (e.g., urban

Blacks in the northeast, rural Blacks in the south, Chicanos in the southwest, Cubans in the southeast and Puerto Ricans in the northeast). While such geographic clusters do not necessarily coincide with any set of state boundaries, they indicate a need to address the needs of "Blacks" or the "Spanish-speaking" at a level which falls between national and state outlooks. The fact that these clusters will overlap any established set of boundaries only indicates that the boundaries must be flexible.

- Proximity to the groups to be served increases the ability of any service unit to become and remain familiar with resources and problems at the state, local and multistate level. Placement of the unit outside the federal bureaucracy increases its ability to respond to short-term local needs quickly and flexibly. The existing area-wide units (AAETP's) have demonstrated the ability to address local needs rapidly and to maintain the familiarity with individual training and treatment programs needed for fulfilling a coordinative role.

- Support for area-wide services among other components of the alcohol education and training network, critical to the success of any such efforts, has already been established by the AAETP's. State Alcoholism Authorities, training programs and Board members indicate a willingness to support area programs in several of the needed roles and in providing technical assistance.

While there are many possible means of organizing to meet the needs of alcohol education and training, any of which might be defended, the decentralized area programs are established, supported by others, and successful; they constitute a tested mechanism which appears to work.

Thus it is recommended that, for the next funding cycle, NIAAA maintain decentralized area-wide units to provide selected alcohol education and training services, outlined below. As these services are provided in an attempt to meet some of the needs described by respondents, however, it will be necessary for NIAAA to again assess gaps, redundancies and inadequacies within the education and training network and reappraise the role, viability and usefulness of the area-wide unit along with all other network components. To build upon present AAETP program strengths and potentials, and to overcome existing weaknesses and constraints, significant changes are proposed in the roles, organizational structure and relationships of the area-wide units.

Recommended new roles, structure, and relationships are outlined in the attached Summary Matrix of Recommendations, Figure 7. As the figure indicates, the following six roles are considered appropriate -- based on need, ability, and support -- for the "restructured AAETP's" (referred to throughout the recommendations as area-wide or decentralized units):

- Alcohol education and training materials development;
- Alcohol education and training demonstrations;
- Alcohol education and training delivery;

Figure 7: Summary Matrix of Recommendations

Recommended Roles	Recommended Organizational Structure	Recommended Relationships
1.0 Activities to be selected from among six major kinds of roles.	2.0 Unit structure to be decentralized, accountable to NIAAA, and determined by roles.	3.0 Relationships with other organizations to be flexible, mutually beneficial and oriented toward impact on alcohol education and training.
1.1 Alcohol education and training materials development.	2.1 Continued operation as independent non-profit corporations.	3.1 SAA affiliation to be voluntary, flexible and mutually beneficial.
1.2 Alcohol education and training demonstrations.	2.2 Funding through contract rather than grant mechanism.	3.2 Units to make offering of available services and "contract" with SAA's.
1.3 Alcohol education and training delivery.	2.3 Contracts to be for one year with options for renewal.	3.3 Relationships with local prevention, education and treatment organizations to be pursued for mutual benefit.
1.4 Technical assistance in alcohol education and training.	2.4 Short-term (1 or 2 year) planning cycle to facilitate response to new needs and changes in the education and training network.	3.4 Flexibility and independence in relationship with NCAE.
1.5 Research and evaluation in alcohol education and training.	2.5 Requirement for operational, measurable, prioritized objectives.	3.5 Coordination among units to avoid duplication of developmental, demonstration, and research efforts and facilitate transfer of ideas.
1.6 Coordination of alcohol education and training resources and activities.	2.6 Establishment and implementation of an ongoing self-assessment system.	3.6 Development of credibility as means of facilitating coordination of education and training entities and resources.
	2.7 Maintenance of four area boundaries, but allowing association of SAA's with other units when appropriate.	
	2.8 Removal of requirement for SAA Advisory Council; SAA involvement to be specified in contract.	
	2.9 Attempt to provide services/benefits throughout the area, but with no attempt to allocate resources equally to each state.	
	2.10 Small, highly skilled professional staff with general as well as specialized capability, supplemented as necessary by consultants, to provide quick responses to area/local needs.	
	2.11 Encouragement of multiple funding sources, specifically including other grants and contracts and fees for services.	

- Technical assistance in alcohol education and training;
- Research and evaluation -- particularly evaluative research -- in alcohol education and training; and
- Coordination of alcohol education and training resources and activities.

One needed function which has been greatly reduced in scope from the current AAETP program is the role of direct funding of training programs. While some funding of especially needed training might be done through subcontracts, the attempt to locate programs to fund and the large-scale funding of programs by area-wide units appear to be better left to other sources. The AAETP's needs assessments found that, in general, what were considered to be area needs are indeed national needs which should be addressed at the federal level. The AAETP's have also demonstrated the ability to undertake more innovative and potentially more cost-effective activities when not occupied with the administrative task of monitoring large numbers of subgrants. Therefore, despite the need for more funding, it appears that the proposed area-wide units could better meet the needs of the alcohol education and training field (and therefore the entire alcoholism field) through other means, reserving direct funding of training to special, identified situations requiring speedy remedy.

The new area-wide units should have administrative and organizational structures which facilitate role achievement. Also, the area notion should be maintained as an administrative convenience, but made more flexible. Key recommendations include: a change from a grant funding mechanism to contracting, which will permit NIAAA to monitor outcomes and products, while requiring the decentralized units to establish measurable milestones for accomplishing those ends; opening of competition for these contracts periodically to other non-profit corporations;* and permitting states to associate with any of the area-wide units regardless of geographical boundaries when one unit's activities are especially appropriate to the needs of the state. It is unreasonable to require each area-wide unit to attempt to always meet the needs and priorities of all those states falling within its geographical boundaries.

In addition, specific recommendations are provided concerning the nature and extent of relationships which the new decentralized units should seek with state, local, and federal governmental units, as well with local, area and national programs, orgnaizations and institutions. These follow from the restructured organization and roles and the experiences of the current area-wide programs.

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*The NCAE contract has established the precedent of a long term (three year) contract with non-competitive renewals every year.

The matrix summarizes these recommendations; they are described in more detail in the following subsections.

2. Recommended Roles

The following recommendations deal with the roles and functions of the proposed decentralized units.

> Recommendation 1.0: The roles of the new units should be selected from among six major kinds of roles appropriate for them: (1) alcohol education and training materials development; (2) education and training demonstrations; (3) education and training delivery; (4) technical assistance; (5) research and evaluation; and (6) coordination of education and training resources and activities. There should be no requirement that every unit attempt to carry out all these roles; rather, each unit should annually identify and clearly define its objectives and activities within the scope of these six broad roles. Moreover, the ability of a unit to define for itself a manageable group of objectives and activities which are practical -- given identified needs, staff skills, and level of resources available -- should be a major determinant of whether and at what level the unit should be funded. The decentralized units should be strongly encouraged to concentrate available funds into specified areas of activity, and to provide in-depth or extensive services in these few areas, rather than attempt to meet all requests for services within the broadly defined scope of "appropriate" roles.
>
> Rationale: As described earlier, these six roles were based first on an indication of the need for the role, then on a demonstrated or likely ability of the current (or similar) organizations to accomplish these roles, and finally, on an indication of the support for meeting these roles that would be provided at the area level by those to receive the services. AAETP experience has demonstrated the danger of spreading financial resources and staff capabilities too thin to make a significant impact; selection of a small set of objectives for each contract period is recommended. Each unit should be able to identify activities for itself which meet the priority needs of a number of the states or of specific target populations and institutions within a service area.

Recommendation 1.1: Alcohol education and training materials development should be a role of the decentralized units.* Where requests are received for materials which are not available in usable form, the unit may choose to:

- Identify related materials and revise or adapt them to fit area or local needs. For example, NCAE training packages might need revision for use with a special target population.
- Develop a new training package, particularly where the topic is considered of wide interest, either within the states served or nationally, and where NCAE or other network components do not plan materials development. For example, when new legislation is passed or guidelines are issued, a decentralized unit could quickly develop materials for a two-day workshop dealing with the new legislation to be implemented by state or local groups.
- Arrange for, and monitor, materials development by consultants or through a subcontract, where this seems most practical and efficient.
- Negotiate with an existing education or training entity to develop or revise materials to meet an identified need, in return for technical assistance or other services or incentives.

Rationale: Collected data indicate that the development of training materials is seen as a gap in network roles. NCAE, seen as the major source for filling that gap, cannot meet local and short- and medium-term needs under its present structure. In addition, current mechanisms by NCAE for preparing materials appear to be time-consuming and constraining. The technical assistance provided by the AAETP's to their materials development subcontracts, the participation of AAETP staff in the development and validation of two NCAE packages, and the early materials design work currently underway in the WAAETP indicate that not only is there a potential for filling this need at this level, but such an effort would also receive support. Where the role of materials development is chosen by a decentralized unit, the staff should include an experienced developer of training materials, or funds should be allocated for an appropriate consultant.

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*This role may be performed by initiating such development activities or by supplementing and complementing the activities of other network components.

Recommendation 1.2: Alcohol education and training demonstrations should be undertaken. Especially in areas where additional development of training programs is needed, the new decentralized units could test and demonstrate methods and designs for alcohol education and training, including:

- Demonstrations of innovative training methodologies in the alcohol field which could be adopted by existing training programs;
- Development of a model in-service training curriculum for treatment program staff;
- Demonstration of model training programs for those treating or working with special target groups;
- Funding of demonstration projects by training programs, where the program has developed or is developing a needed course which could be easily adopted by others.

Rationale: The need for the development of additional training programs emerged from the study of network roles. The area-wide units can help meet this need through training program demonstrations that would produce field-tested training programs ready for dissemination. The proposed area-wide decentralized unit, because of its familiarity with activities at the local, state, and federal level, can serve as a mediator in identifying existing, but untested training programs that might meet local, state or even area-wide needs, and support and monitor a demonstration effort for such a program. Based on demonstration results, (including revisions), the unit can then facilitate dissemination and utilization of the training program through its local, state and federal interrelationships.

Recommendation 1.3: Alcohol education and training delivery is an appropriate role for these units. The ongoing delivery of training or use of particular training materials is not likely to be a major responsibility of the decentralized units, since other entities exist which can meet the need for education and training. However, particular kinds of training efforts would be appropriate. For example:

- Quick response to certain crisis training needs, where staff or consultant skills and experience are relevant;
- Training of trainers, particularly where widespread education and training needs have been identified, and materials have been identified or developed but require special training before use;
- Topical seminars or other working conferences, which also serve the coordinating efforts of the decentralized unit;
- Ongoing training in high priority need areas, through subcontractors or consultants, possibly using traveling training teams and a fee-for-service mechanism.

Rationale: In providing the training needed by those in the alcohol field, the new decentralized units would be in the position of generally knowing local and/or area-wide needs and problems of being able to allocate funds to respond quickly to short-term needs because of lack of bureaucratic constraints, and of being able to quickly bring together expertise (staff, consultants, subcontractors, other programs worked with) to prepare training. MAAETP has already demonstrated the advantage of being in this situation in the four workshops organized to meet special critical needs on short notice (e.g., training of Chicago hospital staff in detoxification in advance of the Illinois law decriminalizing public inebriety). The existing area-wide units have already sponsored conferences and seminars; these have contributed to the coordination of efforts and joint planning. SAA Directors generally feel that an important future role for an area-wide unit is the training of trainers. Presumably, training at this level would affect more of the training occurring at the local level than other efforts of equal cost.

Recommendation 1.4: Technical assistance in alcohol education and training should be provided by the decentralized units. Many of the alcohol education and training needs identified by the units may be met through technical assistance rather than through taking a leading developmental or training role. Technical assistance might take the following forms:

- Assistance to training programs and higher education institutions in developing, obtaining funds for, and establishing new training programs, in redesigning, recruiting students for, and managing existing programs, and in evaluating their alcohol training;
- Consultation to treatment programs, alcoholism councils and other social service agencies on in-service training in alcoholism;
- Assistance to State Alcoholism Authorities in prevention and training activities, credentialing, and evaluation and accreditation of training programs;
- Consultation to professional associations in the alcohol field on credentialing, career development programs and training;
- "Brokering" of expertise through involvement of staff from one SAA, treatment or training program in the sharing of experiences with others requesting assistance, thereby developing inter-agency cooperation.

Rationale: Technical assistance, a defined gap in the education and training network, is widely suggested as a future role for an area-wide unit. The four AAETP's have all demonstrated this as a role they are capable of filling, and a variety of local and state institutions indicate receptivity to receiving technical assistance in the above-indicated areas. The Eastern AAETP has provided technical assistance on request to a wide variety of organizations; continuing requests suggest this is a needed and successful service. Technical assistance is generally presumed to have as its product a "residual capability", so that the recipient is expected to be "upgraded" and better able to fulfill its function. Therefore, technical assistance is a low cost means of generating considerable impact. Other products of technical assistance, the tangible output -- training or evaluation designs, for example -- are frequently usable by many organizations. Decentralized units, unlike NIAAA, would be in a position to respond quickly to requests by small or large agencies through their manageable size and flexible budget. Because the cost of technical assistance is low, there exists also a potential for obtaining a fee for services to supplement NIAAA funding.

Recommendation 1.5: Research and evaluation in alcohol education and training are appropriate occasional or ongoing activities. Decentralized alcohol education and training units may undertake certain research and evaluation projects, both to supplement and complement information to states, training programs and NIAAA, and to support internal activities. For example.

- Research leading to the development of model standards in alcohol education and training, e.g., accreditation standards, certification criteria;
- Needs assessment and identification of available education and training resources for particular target populations;
- Evaluation of demonstration projects, and sponsored training programs, conferences and workshops;
- Self-evaluation of the effectiveness and impact of the activities of the decentralized unit;
- Research necessary to the development of training programs and materials.

Rationale: The need for certification and accreditation criteria emerged from the analysis of network roles; the EAAETP has been involved in the development of accreditation standards already, drawing on staff knowledge of alcohol training programs. All the AAETP's have been at least partially successful in undertaking a major needs assessment, studies of resource availability, and evaluation of funded projects. The new units should be capable of all required supporting research and evaluation and, with appropriate staff, of other major studies to improve the field. Where similar studies are to be undertaken by two or more units (e.g., needs assessment), design of the studies should be done jointly, both to reduce the cost and increase the quality of the design and to ensure comparability of data, essential if states are to be free to associate with any unit. In addition, area-wide units could perform specific research functions for states or the federal government, building on working relationships with universities and/or consultants.

Recommendation 1.6: Coordination of alcohol education and training resources and activities should be a primary function. The decentralized education and training units should use their positions to identify resources, disseminate information on resources and training opportunities, and encourage coordination and sharing of information. Examples of coordination efforts include:

- Identification of available training materials within the area served or pertaining to an area of need in several of the states served;
- Cataloging of all alcohol-related education and training open to the general alcohol worker;
- Dissemination of information on available training resources, courses and classes, experts and consultants, training needs data, etc., to training programs, treatment programs, and individuals working in the alcohol field;
- Promotion of particular training programs or materials;
- Conferences, workshops and individual contacts to encourage resource and information sharing among programs, organizations, education and training institutions, and SAA's.

. Rationale: Coordination of resources and activities was the gap in the current alcohol education and training network most frequently noted by respondents. The placement of decentralized units between the federal government and the states and the access by such units to information through their other activities make them ideal for the task of coordinating resources and activities. Currently, such coordinative activities are missing. All the AAETP's have developed methods for coordination in their areas. However, successful implementation of these activities has been constrained by a low level of available resources. Two of the AAETP's publish training information newsletters, all have collected (and disseminated, to some extent) information on area resources and opportunities, and all have developed formal or informal methods for encouraging cooperation and joint planning. By building upon these experiences, and continuing similar activities, decentralized units should be able to establish credibility for technical assistance and demonstration efforts, and increase awareness of the availability of services.

3. Recommended Organizational Structures

The recommendations which follow detail a proposed organizational structure for a decentralized alcohol education and training program and for the decentralized units themselves. These recommendations flow from the experiences of each AAETP and the program and from the types of roles recommended by components of the alcohol education and training network.

Recommendation 2.0: The new units should be decentralized (i.e., separate and largely independent from NIAAA) and accountable to NIAAA for specific outcomes, and should be structured to facilitate accomplishment of the goals each unit sets for itself. The new units should not be required to maintain a relationship with any other organization, e.g., NCAE, to assure that objectives are unconstrained and that the units are accountable directly to NIAAA.

Rationale: Current decentralized area units have been able to respond quickly to area needs and to identify and respond to special local needs (e.g., EAAETP technical assistance to local agencies, MAAETP workshops). Even the limited flexibility allowed the AAETP's in pursuing non-subgrant or stipend activities has resulted in many innovative approaches. By maintaining the decentralized organization of the program and permitting flexibility in structure and activities, NIAAA can help to foster innovative and rapid responses to short- and medium-term problems in the alcohol education and training field. However, accountability to NIAAA must be increased to insure that the area units continue to be responsive to NIAAA (and other funding source) goals, and that activities of the units complement and supplement the overall objectives of their funding sources.

Recommendation 2.1: The decentralized units should continue to be independent, non-profit corporations.

Rationale: As independent non-profit entities, the units will be able to provide a quicker response to specific needs through funds or assistance, than can an agency which is part of the federal bureaucracy and must operate through time-consuming, established procedures and "channels". Further, as non-profit corporations, they will be eligible for other federal, state and private grants as well as contracts, will be more likely than profit-making corporations to obtain funds from the states served (as the MAAETP has through state granting mechanisms) and will have more latitude in establishing working relationships with the organizations they serve.

Recommendation 2.2: Funding for these decentralized units from NIAAA should be provided through the contract rather than the grant mechanism. Each unit should be required to submit an annual proposal specifying its objectives and its planned activities, proposed staff, work plan and schedule, and funding requirements. Each contract should require that unit objectives indicate sound rationale (based on accurate and current data), be measurable and suitable, and contain a work plan and management plan that give promise that the unit will be able to meet its objectives. Once a contract has been awarded, the unit should be monitored directly by NIAAA, as a contractor.

Rationale: At present, our investigation indicates that only limited funds are available, or will be available in the immediate future, from state, local and private sources or other federal agencies. State and local alcoholism agencies continue to complain of inadequate financial resources, and existing state plans and other federal agency budgets do not provide for additional allocations of financial resources. Therefore, NIAAA funds will continue to be required to support the work of a decentralized area-wide unit -- and CONSAD recommends the contract mechanism. The use of a contract rather than a grant facilitates closer project monitoring, redirection during the contract period as necessary to insure that the proposed outcomes will be met, requirements that milestones be met on time, and direction of efforts toward specific, well-defined, mutually agreed upon objectives. Under the "typical" grant monitoring process, monitoring which occurs tends to be primarily fiscal, and the Institute exercises control only at grant renewal time. From the perspective of the decentralized unit, a contract encourages flexibility, requiring that the contract recipient be innovative in addressing alcohol education and training related concerns. With a well-detailed scope of work, NIAAA could monitor outcomes -- products promised, services delivered, schedule compliance -- leaving the decentralized unit to adjust its methods and operations to current situations, abilities, and priorities. This would also free the unit to establish relationships (See Subsection 4) with other groups when they become mutually convenient and profitable -- fee-for-service arrangements, subcontracts, etc. The contract mechanism also facilitates the delineation of a specified scope of services; thus NIAAA can negotiate with each area-wide unit to insure complementary/supplementary rather than duplicative activities.

Recommendation 2.3: Initial contracts for the operation of the decentralized units should cover a one-year period with options for renewal assuming satisfactory performance during the year. Budget allocations should be broken down by task and time.

Rationale: Such a contract ensures some continuity, reduces start-up costs, allows planning for longer-range projects, and is already used for some NIAAA programs, e.g., NCAE The possibility for competitive bids should not be eliminated --

indeed, it may serve to encourage the development of innovative programs and approaches, the pulling together of staffs with particular capabilities, and the design and development of area-wide unit activities that will be responsive to local, state and federal needs.

Recommendation 2.4: The new units should use a short-term -- one-or at most two year -- planning cycle, to facilitate flexibility and quick response to newly identified education and training needs. It is recommended that each unit review needs and redefine its objectives and scope of activities annually, as it prepares its contract proposal. While it is highly desirable that activities each year build upon the lessons and skills of the previous one, the decentralized units should be willing to "change directions" when new needs are identified or when other entities appear which are able to assume some of the activities previously carried out by the unit. NIAAA may suggest desired new emphases, or they may become evident through contacts with SAA's, local training and education institutions, treatment programs, or other groups. Formal surveys may be used to identify needs; or new legislation, federal guidelines or funding allocations may cause new education and training needs.

Rationale: Many alcohol education and training entities -- particularly institutions of higher education -- tend to be slow to change direction due to long-term planning and a relatively inflexible structure. The decentralized units can fill the need for a flexible, "generalist" entity willing to meet a new need or discard a program which is no longer useful in the changing field of alcohol education and training. The requirement for an annual proposal would force not only a reassessment of needs, but also a rejustification of the entire budget.

Recommendation 2.5: As a part of the annual planning process, each unit should develop (or reassess) operational measurable, prioritized objectives, both as a basis for organizing a proposed work plan and as a foundation for self-evaluation. Each major role or functional area thus requires objectives which describe the services to be provided or the products or outcomes anticipated.

Rationale: Objectives serve to facilitate planning and evaluation and permit mutual understanding between NIAAA and the decentralized unit as to what is expected as a result of the year's funding. They can be used to monitor and control the contractors without unduly restricting or circumscribing their activities. The four AAETP's were not originally successful in developing objectives for their activities, perhaps because the purpose for those objectives was not clear, since they would not be used to measure grant success or compliance. As a result, they were ill-equipped to evaluate their own activities (although they evaluated the activities of subgrantees).

Recommendation 2.6: Each decentralized unit should establish and maintain an ongoing self-assessment system which includes regular monitoring of activities and "processes" and periodic (at least annual) evaluation of program outcomes and, where feasible, short-term impacts. Self-assessment should be based on the objectives agreed to in the unit's contract. Self-assessment reports should be primarily for internal use in improving program management and activities and for planning purposes, although an evaluation report might be required as part of the annual proposal to NIAAA. In addition, each unit should be required to submit regular progress reports to NIAAA as part of its contractual requirements.

Rationale: Some level of monitoring and evaluation is required to insure that adequate progress is regularly being made toward the objectives specified in the unit's contract. Additional evaluation must be undertaken to assure NIAAA that the unit is efficiently and effectively meeting the needs of the alcohol and education network in the area served and that the intended populations are receiving services; without such assurance, continuation proposals will ask NIAAA to take unnecessary risks in continuing funding.

Recommendation 2.7: The present four area boundaries can be maintained, as a logistical convenience, but the division of the country into four areas must be viewed as flexible and unconstraining. Where an SAA within one area feels that the activities of another unit are more appropriate to the needs and priorities of the state, the state should be able to affiliate with the other unit or with both units. The nature and extent of these relationships would be mutually agreed to by the SAA and the unit, as described in the recommendations regarding relationships.

Rationale: Four units are recommended because (1) the AAETP's (especially WAAETP) have found the regions they serve to be almost too large at times, and fewer units would require larger areas, and (2) adding more units, unless NIAAA were able to allocate funds to this program, would be likely to reduce the budgets of the individual units below an effective operating level. Defining more specific roles and eliminating the requirement for association with each state, as recommended elsewhere, should reduce some of the burden in serving a large number of states, and permit a focusing of resources on selected activities. It is assumed that state involvement with area-wide unit activities will increase if states are offered choices. Restricting participation to one unit has been a problem for some states, which then choose to have almost no relationship with the AAETP. Eliminating the strict geographical boundaries will allow, for example, a state like New Mexico to join with the Midwestern unit in adapting materials to the needs of Native Americans or with the Western unit in obtaining training for personnel who work in the Chicano community.

Recommendation 2.8: The requirement that each area-wide unit have an Advisory Council of SAA directors should be removed. The individual decentralized units should be free to decide whether or how to involve SAA's in policy or advisory boards, and whether to have an Advisory Council. The contract should describe detailed roles and responsibilities of proposed boards of councils.

Rationale: The variations in SAA participation, both from state to state and from area to area, have occupied considerable AAETP time and expense, as they attempted to guarantee equal or some minimal level of participation. The result of these efforts has not always contributed to the successful functioning of the AAETP's. With roles more precisely defined and limited in the decentralized units, states may be either more or less eager to participate in the activities of the organization. If the SAA's are eager to participate, they will be able to do so in ways other than a formal Advisory Council; if they are unwilling, the existence of such a Council is unlikely to foster support or active involvement. Moreover, the units may not need to constitute a formal Advisory Council (an especially difficult undertaking in the West, where states are geographically far-flung) to determine what is and should be happening in the area.

Recommendation 2.9: In planning and implementing its activities, each unit should make an effort to provide services which benefit all of the states in its generally defined service area; however, there should be no attempt to allocate resources "equally" among the states. Services should instead be provided on the basis of requests received, within the defined scope. While each unit should have procedures for identifying needs which are not reported to it directly as requests for assistance or materials, and should seek sufficient publicity to make potential "users" aware of its existence and services, the staff should avoid spending undue time and effort in seeking service requests from states which do not initiate them.

Rationale: Different states have different alcohol education and training needs and resources, and an "equal" distribution of funds among them would not necessarily be equitable. Further, states have demonstrated differing levels of interest in receiving services from these decentralized units (or the AAETP's). Funds are more likely to make a significant impact when they are spent on needed and wanted services and when they are not spread thinly over a large number of activities. As roles are defined for a one to two year period for the units, some states may find that, although the activities address the general needs of the entire area, the specific high-priority needs of an individual state are not addressed, and participation in the activities of the unit would be a distraction. In this case, there is no good reason for attempting to either force the state to request some services or to redefine services for the year to accommodate the single state. Over time, the unit is likely to provide services which are needed, or the state can choose to associate with another unit if it truly desires some services.

Recommendation 2.10: The new decentralized units should have small, highly skilled professional staffs with general capability in the area of alcohol education and training, as well as specialized capability in the areas of contracted activities. Core staff should be able to participate in a variety of activities, from materials development to training, technical assistance and information dissemination, although each staff member may have a specialty such as training, materials development, planning and evaluation, or coordination and information dissemination. Consultants should be identified and used as needed to supplement core staff, fulfilling technical assistance, training and other roles.

Rationale: This staffing will facilitate quick response to varying area and local needs which are within each unit's defined scope of effort and will permit annual changes in activities without requiring major staff reorganization. Decentralized units should not be overstaffed to include those whose abilities are not needed on a daily basis, but neither should they be expected to perform services for which they are neither qualified nor prepared. Consultants allow the units to provide all necessary skills to the agencies served without undue extra costs.

Recommendation 2.11: The new units should be encouraged to seek additional funds from public and private sources, and should be specifically encouraged to make fee-for-service (or partial reimbursement) arrangements with SAA's and other agencies. However, NIAAA should be prepared to provide the funds required to carry out the activities specified in the contract proposal.

Rationale: There exists, presumably, a need for education and training services which exceeds the funds available from NIAAA. Studies by some of the AAETP's and CONSAD investigations indicate that there is limited money available from private sources. At some point in the future, however, some states, at least, may be willing to pay for training services, and individual alcohol programs, workers or agencies have and might continue to pay for training sessions. WAAETP has completed a study which indicates that alcoholism treatment programs will pay for ETSDS training sessions. MAAETP has collected approximately $35,000 from three SAA's for special training activities. Based on local needs and predispositions, each area-wide unit can continue to explore specific services and activities for which it could receive reimbursements (conferences, special publications, etc.). Funds from other federal agencies also are limited. However, as independent non-profit corporations, area-wide units could compete for other solicitations, submit unsolicited proposals, and/or apply for grants from such agencies as the Department of Health, Education, and Welfare and the Law Enforcement Assistance Administration.

4. Recommended Relationships with Other Entities

In the past, AAETP's have attempted to carry out their "coordinative" function by developing relationships with a wide range of groups, from SAA's to local treatment and training entities. These have frequently been fruitless efforts. Based on these experiences and the redefined roles and organization of the decentralized units, the following recommendations suggest the types and nature of relationships which the units should attempt to develop:

Recommendation 3.0: Relationships with other organizations should be flexible (i.e., not pre-defined or standardized), mutually (but not necessarily equally) beneficial, and designed to maximize the potential impacts upon alcohol education and training. NIAAA should not attempt to require certain relationships, with the SAA's or with any other organizations, but should permit the development of those relationships between the decentralized units and others which will lead to a sharing of education and training resources and knowledge.

Rationale: The attempt to pre-define certain relationships (e.g., Advisory Councils, service provider-recipient agreements) forces non-productive activities in recruitment and coordination and may eliminate the possibility of using staff time to develop potential relationships which were not previously anticipated. The attempt, especially in the West, to organize SAA Advisory Councils resulted in considerable effort to obtain minimal levels of support and assistance from SAA's. At the same time, the AAETP's undertook many one-time activities which might have been developed into mutually supportive relationships between the AAETP's and other treatment and training personnel and institutions, if the time had been available and the AAETP's could have offered an exchange of services or information. This actually occurred in only a few instances and at the level of information exchange, primarily because the AAETP's were not striving for anything greater. In those areas where relationships were stressed, i.e., SAA's and the representative Boards, the AAETP's sometimes offered little or nothing in return for participation. In the future, only those relationships which both aid the AAETP's purposes and activities and benefit the second organization should be pursued.

Recommendation 3.1: SAA affiliation with the decentralized units should be voluntary and flexible. Each unit should establish a mutually agreed upon relationship with each SAA it serves. An SAA which wants to work closely with the unit should be able to arrange an agreement that the SAA director will be kept informed of all requests for information or assistance from the state, involved in decisions concerning major activities within the state, and provided a certain level or type of technical assistance. In return, the unit and the SAA should negotiate an agreement that the SAA will keep the unit staff informed of education and training activities, provide consultants as part of a mutual-assistance technical assistance pool, and participate in working topical conferences. On the other hand, an SAA which wants minimal contact with the unit should not expect to receive more than bulk mailing materials, or to be consulted concerning requests from within the state. Those states whose SAA's choose not to participate or assist in unit activities should understand that services may be provided within their states, but that major emphasis is likely to be placed upon states whose SAA's are active participants. There should be no assumption of continuing responsibility to a voluntarily non-participating state beyond the most basic information dissemination.

Rationale: The SAA which does not desire services from the decentralized unit, either because the state has sufficient resources of its own or because the services of the unit are not appropriate to the state's needs, should have the right to refuse those services and to refuse to assist in the unit's activities. AAETP experience has demonstrated that this is the case in some states, and the limiting of the scope of activities to be undertaken at any one time might increase this number. NIAAA should permit these states to claim their "share" of the services from another unit, but if they are not interested, the funds should be used to increase the impact in another area. Many of the activities encompassed by the six roles defined earlier, especially research, demonstrations and materials development, will eventually (or immediately) serve those training programs whose states have refused other services.

Recommendation 3.2: The decentralized units should present all area SAA's, and others which are interested, with the opportunity to examine the services currently and potentially available and "contract" with SAA's as to what services are to be performed over the relevant period. While this agreement would not necessarily specify particular services and dates, it would generally outline the services to be provided (amount of technical assistance, level of participation in materials development, studies to be conducted, data to be provided, training to be delivered) by the area unit, as well as the support (financial and otherwise), consulting time and staff time to be devoted to data gathering efforts, etc., to be provided by the SAA in return. It is not expected, of course, that the SAA contribution would equal the decentralized unit's contribution. SAA involvement would facilitate and broaden the services of the unit in this and other states and contribute to the development of the education and training network in the alcohol field.

Rationale: The SAA's are critical institutional elements in the alcohol education and training field and therefore must be given the opportunity to participate. Opposition from the SAA's could endanger the work of the units in the area and would seriously hamper the development of the network. However, the units and the SAA's should not be tied into any specific relationship or level of cooperation. The units will be forced to consider the potential relationships with SAA's and provide for activities with the states in their proposals; hence, they will also be forced to establish some level of support and knowledge of the SAA's prior to their initial proposal.

Recommendation 3.3: The decentralized units should seek to develop relationships with local education and training entities, prevention and treatment facilities, alcoholism councils, and other groups, but only to the extent that such relationships are beneficial to the unit in accomplishing its objectives and in fulfilling the NIAAA contract. Once the unit has attempted to make itself known to such organizations, further attempts to involve them in the unit's activities should be made only for specific purposes, and where possible, give-and-take rather than one-way relationships should be sought. For example, a local treatment program might pay fees for receiving training, if it has the necessary funds, or might agree to provide training to another local group in return for receiving assistance from the unit staff.

Rationale: The requirement for mutually beneficial relationships with local organizations, as with SAA's, serves to spread NIAAA funds further among those needing the services of the decentralized unit. Those groups which can afford to help support the unit's work financially (though perhaps paying less than the cost of providing the service) should be encouraged to do so. Others can contribute to the development of the education and training network and the field of alcohol education by serving as consultants to the unit or volunteering as field test sites for new materials or a demonstration training program, and they should be encouraged to do so. Note once again that mutually beneficial relationships need not be equally beneficial, but should contribute to the work of both organizations.

Recommendation 3.4: The relationship of the decentralized units with NCAE should be flexible and should reflect the independence of the unit. Each unit should be free to establish and maintain its own relationship with NCAE in accordance with its own, and NCAE's, objectives and priorities. This may mean that the unit agrees to test training materials, modify packages for area use, or provide materials, needs data, or ideas to NCAE, as long as these activitied contribute to the meeting of the unit's contractual objectives or NCAE provides assistance in return.

Rationale: NCAE is singled out here because of its past role with the AAETP's, but more importantly because of the apparent parallel in some roles. The degree of cooperation will depend upon the activities pursued by each of the units -- where a unit is focusing on the development and/or dissemination of training materials, it is likely to find cooperation with NCAE highly important. Other units may find that their relationship with NCAE is much more limited, but important nonetheless.

Recommendation 3.5: Ongoing cooperation among the four units is essential and should be encouraged to avoid duplication, of developmental, demonstration and research efforts, and to facilitate replication and transfer of ideas and products validated by one of the units. The directors of the four units should meet regularly, as AAETP directors have, and further define the areas of possible cooperation and collaboration. Since each unit should be carrying out some demonstrations which may be suitable for transfer to all areas, idea-sharing and cooperation should be encouraged throughout the period of the demonstration.

It may be helpful for all four units or for several of them to undertake related or parallel activities in some instances; such areas should be identified and acted upon.

Rationale: Although the decentralized units will plan and carry out activities fairly independently, it is in NIAAA's best interests to avoid duplications of effort and to build on the successes of each of the units as soon as possible. In order to do this, some formal structure will be necessary, such as regular meetings of directors, and NIAAA monitoring of activities to identify areas of potential cooperation or parallel activity.

Recommendation 3.6: Each unit should attempt to quickly establish and maintain "credibility" and establish a reputation for competence as a principal means of facilitating coordination of education and training resources and activities. Among the most promising methods for developing "credibility" might be the use of traveling training or technical assistance teams to meet short-term local or SAA needs. These methods have been developed and demonstrated by the AAETP's as low-cost means of providing widely needed services, and as such could be employed early in the unit's activities to help establish a reputation which could then be supported through more complex high-quality work.

Rationale: In order to conduct demonstration projects which will be replicated by others and to become a respected source of technical assistance, each unit will need the credibility gained in the ways indicated. The establishment of a reputation as a competent source of education and training services will serve to increase awareness of the unit's program and will be almost essential for obtaining other sources of funding.

5. Policy Implications of the Recommendations

The structure and roles recommended for the decentralized units force more responsibility on them for defining needs and specific objectives and planning activities to meet them, for seeking innovative solutions to local problems in a new field, for establishing appropriate advisory mechanisms and relationships with other network components, and for continually evaluating and redirecting activities. At the same time, however, they impose a number of specific requirements on NIAAA.

The contracting mechanism will allow NIAAA considerable latitude in establishing appropriate activities for the decentralized units and in building in measures of accountability, but it will also require considable effort in preparing and monitoring the contracts. Contracts must include specific, appropriate, measurable outcome objectives and only those "process" requirements which are essential to ensure success. The proposed staffing, schedule, milestones and self-evaluation procedures must be carefully reviewed for appropriateness, and the contract must include reporting provisions for monitoring purposes.

The project officer responsible for the decentralized units would have a very active role in maintaining a close watch on the operation of the units. Regular monitoring and periodic evaluation are critical to the successful use of the contract mechanism for accountability.

The recommendations also lead to several new requirements for coordinating and integrating the decentralized education and training program. In the past, NIAAA has been concerned with the overlap between AAETP activities and other NIAAA efforts. In the course of reviewing and negotiating the objectives of the area-wide units, NIAAA must take the responsibility for assessing the overlaps and gaps in its entire program and ensuring that the area-wide units' objectives mesh with all others. The objectives of the individual units must be carefully checked against each other to ensure that certain kinds of activities (e.g., needs assessment, conferences, large materials development efforts) which are best done nationally or through joint effort are carried out only in cooperation with the total group. National efforts, especially training needs assessments and manpower assessments, may require that NIAAA designate one of the units as prime contractor with the others as subcontractors or select a separate contractor especially capable of managing such a national effort to conduct the assessment, calling on the decentralized units to provide mailing lists, introductions and specialized data.

The recommended area unit roles, structures, and relationships thus place special demands upon NIAAA as well as the decentralized units. However, they can also make possible an effective and efficient mechanism for meeting area, state, and local alcohol education and training needs.